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Editions Prior to 7/91 Are Not Usable After 6/38/93 NSN 7540-01-333-6239



# PERFORMANCE MANAGEMENT PLAN FOR MANAGERS AND SUPERVISORS

Rating Official: Date: 10-15-09	General Information						
Appraisal Period: 1012412008 To 101512009  Establishment of the Performance Management Plan  We have discussed this plan; written comments have have not been attached.  Manager/Supervisor: Date: 10122108  Reviewing Official: Date: 10122108  Mid-Term Progress Review Certification  The mid-term progress review has been conducted.  Manager/Supervisor: Date: 3-17-07  Rating Official: Date: 3.19-01  Performance Appraisal and Rating  Exemplary Exceed standards for all elements  Limit Highly Effective Exceed standards for all other elements  Meet standards for all elements and may exceed standards for less than 50% of elements  Minimally Satisfactory Need to improve performance for one or more elements  We have discussed this appraisal; written comments have have not been attached.  Manager/Supervisor: Date: 0-15-209  Date: 10-15-209  Date: 10-15-209  Date: 10-15-209	Name: THOMAS V. MOORE						
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DL 1-382 6/2004 Performance Summary

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PURPOSE OF APPRAISAL:	Interim Rating	— Kating of Record
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For each element, use an "X" to indicate the appropriate rating.

Element ratings: E = Exceed, M = Meet, NI = Need to Improve, F = Fall

ELEMENT	EL	EMEN	rati	NG
L. Landson & Strap & W. S	æ	М	NI	F
Managerial Competencies: A. Leadership	W			
B. Resource Management				
C. Coalition Building and Communication	***			
D. Problem Solving and Initiative		****		
Achieving Organizational Results: Identify linkage with appropriate DOL Performance Outcome Goals: For each results apacific objective, reference the related outcome goal, e.g., 1.1, 2.1, 3.3, below:  (MSHA's Organizational Results Goals 1 – 3 are based on the DOL Performance Goal 3B – Reduce Work-Related fatalities, Injuries, and illnesses in mines.)  Result 1:  MSHA Goal – Fatal Injury Incidence Rate  MSHA Goal – All Injury Incidence Rate  MSHA Goal - Incumbent will monitor District Mine Safety and Health program area to ensure that citations / orders are timely terminated.				
Result 2 Reduce fatalities and injuries in the nation's mines by using the MSHA Key Indicators to direct resources and monitor enforcement performance and quality.	3.44mm			
Result 3 MSHA Goal 2.2 & 2.3 – Reduce Miners' Exposure to Dust and Noise (DOL Outcome goal 3.18 – Reduce Miners Exposure to Health Hazards)		/		
Result 4 MSHA's Internal Safety and Health Goals (DOL Goals for President's SHARE initiative for				
government Wide Safety, Health and Return to work Employment)	ľ			

2

OL 1-382 6/2004 Other Significant Accomplishments

3

OL 1-382 6/2004 Managerial Competency Elements

EXCEED	T I
MEET	
NEED TO IMPROVE	
FAIL	П

### A. LEADERSHIP

#### Performance standards for Meet:

Develops and maintains long and short-term strategic planning to facilitate the achievement of the Agency's mission, consistent with key Agency policies and priorities and economic, political and social trends affecting the organization.

Anticipates and meets the needs of clients/customers. Sets standards for customers' needs and satisfaction, and meets them.

Uses agency performance plans and other management systems to link individual performance to outcomes and to overall organizational performance objectives.

The supervisor vigorously monitors the status of all inspection with daily two-way conversations with the inspectors, office personnel and others who are involved in the inspection process. As a result of constant communication it is easy to make any adjustments or reassignments when deemed necessary. The supervisor makes them with great fortitude with the goals and mission of the agency as the primary objective. The supervisor has an open door policy that promotes and provides an atmosphere that encourages input thus allowing problem solving to remain at the lowest level possible.

The supervisor has developed plans for both short-term and long-term goals that adhere to key agency policies as well as economic, social and political trends.

During the year, many hours of discussions with the mine operators, compliance specialists, and others have allowed for unforeseen problems to be addressed before they become a major problem.

By continuining to stay in touch with the miners, mine operators, other enforcement agencies, and other elements of the mining community, the needs of the community are anticipated and approached with a proactive attitude.

input from the various groups and compliance specialists allows the supervisor to address and handle controversy before it escalates.

By staying actively involved with the mining community, many issues have been avoided before they become a serious problem for the miners, mining community and the agency.

See Attached.

4

DL 1-382 6/2004 Managerial Competency Elements
A. Leadership (Continued)

The supervisor makes regular visits AA and FAR to assigned mines in an effort to maintain good and open communications with miners, mine operators, and inspection personnel. This professional approach has frequently prevented issues from by-passing the field office and going to the district level.

The supervisor has fostered a trust and respect from miners, mine operators, and inspectors that he has frequently resulted in requests by the mine operator to assist in resolving mine problems.

The supervisor has displayed a high level of effort and qualities by implementing the overall organization performance objectives and management systems to link and enhance the ability of individuals to identify problems and give them the resources necessary to address most problems.

B. RESOURCE MANAGEMENT	EXCEED	ТЯ
	WEET	Ō
	NEED TO IMPROVE	
	FAIL	
Performance standards for Meet:		
Ensures that staff are appropriately selected, util as treated fairly and equitably. Takes steps to adhe or she is aware. Actively develops the talents candidates for positions in the organization.	dress issues of discrimination of wi	nich

Proactively works to maintain a safe workplace and to prevent accidents, injuries and illness. Resolves conflicts in a positive and constructive manner.

products and customer service.

feedback and appropriate recognition to promote staff morale and to ensure quality work

Assures that the organizational budget is administered in a manner that supports the accomplishment of program goals and reflects sound financial management.

The supervisor is an advocate of treating everyone fairly and equitably. He promotes and encourages this policy by example. Employees have been trained as to what steps are to be taken concerning issues of discrimination.

The supervisor uses Informal training such as meetings within the work group to promote team effort and sharing knowledge and experiences of individual efforts to reach set goals and policies of all assigned mines.

By having an open working relationship, training needs are met in an informal manner. This allows for a better working relationship between the employee and the supervisor. This promotes morate and ensures a good working relationship is developed in the office and this serves the mining community appropriately.

The leadership abilities foster a team atmosphere that broadens collectively and individually the workgroup's knowledge and enable the workgroup to meet our mission and goals.

The supervisor encourages and promotes safety at the office as well as while performing duties at the minus and facilities. This is achieved by conducting safety meetings and raising employee awareness of their immediate environment and surroundings.

The supervisor has maintained control over the resources in his assigned area of responsibility and often during this rating period was required to adjust priorities and manpower to meet deadlines and to gather mine specific information for requests from the district.

6/2004

Managerial Competency Elements

### C. COALITION BUILDING AND COMMUNICATION

EXCEED	B
NEET	
NEED TO IMPROVE	
FAIL	

### Performance standards for Weet:

Promotes an open, communicative environment where staff can readily access resources and move forward to accomplish common goals and tasks. Handles workplace disputes promptly and effectively.

Makes clear to staff what is expected of them both individually and as a team/group; clarifies the extent of their authority.

Effectively represents the Department and the program agency internally and externally. Actively engages the cooperation of internal and external stakeholders in working on common tasks or group projects; shares work and decision-making with others.

The supervisor promotes an open, communicative environment where employees can readily access information and resources to move forward and accomplish goals and tasks. Good working relationships and communications with fair and open-minded values minimize disputes promptly and effectively.

The supervisor encourages cooperation in decision making from the workgroup while maintaining a high degree of awareness on all issues that arise.

The supervisor makes clear to the mine operators what is required and expected from them with prompt notification of any incident that occurs at the mine. This process has enabled the inspector to conduct his inspection/investigation in a timely manner and reduced exposure of miners to unsafe working conditions.

6

DL 1-382 6/2004

Elements D. PROBLEM SOLVING AND INITIATIVE	EXCEED □ MEET □ NEED TO IMPROVE □ FAIL □
Performance standards for Meet:	
24 2 3 2 3 2 3 3 3 3 3 3 3 3 3 3 3 3 3 3	A A
Stressed innovation and risk-taking. Analy, solutions, emphasizing new approaches. I forward.  Displays an attitude that accepts mistakes as the organization works to achieve resul	akes calculated risks to move program as part of the developmental process,

Organizational
Performance
Elements

Provide 4 results specific objectives that demonstrate thisage with DOL's Strategic Pien outcome goals. This section should include the major results to be achieved during the period of time covered by the performence agreement. Results need to be clearly identified and measurable. They should be phrased in a menner that will leave no doubt about whicher the results were schieved, however, the results should not include detailed milestones or descriptions of the process and methods used to get the

results.						
PERFORMANCE AGR	EEMENT	Element 1 Reduce the Mining Fatality Injury Incidence Rate in the Nation's				
EXCEED RESULT # 1		Mines in accordance with the GPRA Goals outlined in the DOL				
		Strategic Plan.				
MEET		langumbant will manitar Matriat Idian Calabo and Llauth anagram mona				
NEED TO IMPROVE		Incumbent will monitor District Mine Safety and Health program area to ensure that citations/orders are timely terminated.				
FAIL						
		(DOL Outcome Goal 3 Safe and Secure Workplace – 38 – Reduce work-related fatalities, injuries and illnesses in mines)				
		Element 2 Reduce the ALL Injury Incidence Rate in the Nation's Mines in accordance with the GPRA Goals outlined in the DOL Strategic Plan.				
	- Anna and A	Incumbent will monitor District Mine Safety and Health program area to ensure that citations/orders are timely terminated.				
	P. Applifique de la proprieta	(DOL Outcome Goal 3 Safe and Secure Workplace – 3B – Reduce work-related fatalities, injuries and lilnesses in mines)				
		Performance is satisfactory when no more than 3% of the citations are past due. Performance will be measured by the degree to which Coal is able to terminate citations within the period established by policy for abatement. Progress will be measured through a report furnished by PEIR.				

The supervisor has been professional, firm and fair in all contacts make with mine operators, miners, state inspectors and other compliance specialists. He has always promoted inspection with a purpose and root cause analysis to be effective in meeting the Agency's mission and goals.

The supervisor provided to the inspectors, accident reports, fatal grams, information related to serious injuries, near misses, and fatalities to be shared with the miners and operators

The supervisor monitors the due date of citations and holds the inspectors responsible for the paperwork to be completed in a timely manner.

## Organizational Performance Elements

PERFORMANCE
AGREEMENT
RESULT # 2

EXCEED
MEET
NEED TO IMPROVE
FAIL

Reduce fatalities and injuries in the nation's mines by using the MSHA Key Indicators to direct resources to monitor and improve enforcement performance and quality.

Incumbent monitors MSHA Key Indicator reports for inspector performance results outside the acceptable norms and averages for each District's unique and distinct performance levels. Incumbent understands the effects of each district's geography and work load when determining acceptable average performance baselines.

Performance is satisfactory when the incumbent demonstrates the use of the MSHA Key Indicators in the daily managerial decision-making process, demonstrates an understanding of the root causes for variances in monthly reporting, assigns responsibility for the variances, accounts for their occurrence and remedy where applicable and shares best practices with relevant MSHA employees. The incumbent must ensure that the completion rate of all EO1 inspections is 100%. Exception to this only may be granted if the incumbent can demonstrate supporting aberrations beyond the control of the incumbent's management ability that prevented 100% completion. The completion rate of all EO1 inspections at 100% will be for coal mines located throughout the district office.

(DOL Strategic Goal 3 Safe and Secure Workplace – DOL Performance goal 3B – Reduce work-related fatalities, injuries and illnesses in mines)

The supervisor insists and instills in his inspector's to be firm and fair in enforcement of the Agency's policies and regulations. He has encouraged inspectors to use the appropriate level of enforcement when issuing citations and orders.

He reviews citations and orders to ensure consistency among the inspectors.

The supervisor encourages inspecting with a purpose and encourages the use of the data retrieval system and mine profile program. This information helps develop an inspection profile and/or strategy that meet the Agency's mission and goals.

Open meetings with the miners and mine operators increase awareness of accidents in all areas and help in the reduction of accidents at the mines.

Key indicators are used by the supervisor in the daily decision making process by the supervisor understands the root cause discrepancies in monthly reporting, assigns and accounts for their occurrence and remedy when applicable and includes best practices with MSHA inspectors. Key indicators are used to ensure performance levels and work loads are fair while ensuring E01 inspections are completed at the rate of 100% throughout the field office and district area.

The supervisor assigned respirable dust survey that were completed with 100% completion rate.

DLB-2255-00038

Organizational Performance Elements

PERFORMANCE AC RESULT # EXCEED MEET NEED TO IMPROVE	2-4 5 000 000 11-100 1 - 1	Decrease by 2% per year the percentage of dust and noise samples taken with results that are less than half the permissible exposure limit. (Dust 11.5 target and Noise 3.63 target).  (DOL Strategic Goal 3 Safe and Secure Workplace – DOL Performance goal 38 – Reduce work-related fatalities,
FAIL		injuries and illnesses in mines)

The supervisor assigned respirable dust surveys that were conducted with 100% completion rate and no citations/orders were issued for noncompliance.

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DL 1-382 6/2004

## Organizational Performance Elements

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MSHA's internal employee safety and health goals for FY 2008:

- 1. reduce the total case rates for injuries and illness by at least 3% per year;
- 2. reduce the case rates for lost time injuries and illnesses by at least 3% per year;
- 3. increase the timely filing of Injury and illness notices by at least 5% per year, and
- 4. reduce the rates of loss production days due to injuries and illnesses by at least 1% per year.

(DOL. Goals for President's SHARE Initiative for government wide Safety, Health and Return to Employment)

The supervisor promotes accident prevention management by conducting health and safety inspections and takes prompt action to eliminate unsafe conditions that may be present. Work group and field office health and safety training sessions are held monthly and safety awareness is discussed on a daily basis.

Inspector health and safety is promoted throughout the work group. Suggestions and input on employee health and safety issues are solicited from the staff. Employee accidents which have occurred within the district are thoroughly reviewed with all employees.

No lost time injuries accurred during this rating period. The supervisor's accomplishments in this area greatly enhanced the ability of the district to meet their goals.

DL 1-382 6/2004 Performance Management Plan for Managers and Supervisors

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### Performance Standard for Mest

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  Agency policies and priorities and economic, political, and social trends affecting the organization.
- Anticipales and meats the needs of clients/customers. Sets blandards for customers' needs and satisfaction and meats them.
- Uses Agency performance plans and other management systems to link individuel performance to outcomes and to overall organizational performance objectives.
- Promotes and maintains diverse and inclusive workforce by actively recruiting and hiring from diverse applicant pools; fostering
  collaboration with individuals from diverse backgrounds, perspectives, and experiences; ensuring opportunities for growth exist equilably
  for all employees; and providing fair and equilable recognition of accomplishments for all employees.

#### Narrative

The supervisor vigorously monitors the status of all inspections with daily two-way conversation with the inspectors, office personnel and all others that are involved in the inspection process. As a result of these constant communications, if any adjustments or reassignments are deemed necessary, the supervisor makes them with great fortitude with the goals and mission of the Agency as the primary objective. The supervisor has an open door policy that promotes and provides an atmosphere that encourages input thus allowing problem solving to remain at the lowest level possible. The supervisor has developed plans for both short term goals and long term goals that adhere to key Agency policies as well as accommic, social and political tends.

During the year many hours of discussions with the mine operators, compliance specialist and others have allowed for unforeseen problems to be addressed even before they became a problem. This allows the supervisor to address and handle controversy before it escalates. By continuing to stay in touch with the miners, mine operators, other enforcement agencies and other elements of the mining community, the needs of the community are anticipated and approached with a proactive attitude. By staying actively involved issues have been avoided before they became a serious problem for the miners, mining community and the Agency.

The supervisor makes regular visits, AA and FAR, to exsigned mines in an effort to maintain good and open communications with miners, mine operators and inspection personnel. This professional approach has frequently prevented issues from by-passing the field office and going to the district level. The supervisor has fostered a trust and respect from miners, mine operators and inspections that he has frequently bean requested by the mine operator to assist in resolving mine problems. The supervisor has displayed a high level of effort and qualities by implementing the overall organizational performance objective and management systems to link and enhance the ability of individuals to tidentify problems and give them the resources necessary to address most problems.

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Performance Standard for Meet  Promotes an open, communicative environment where staff can readily access resources and move forward to accomplish commo and tasks. Handles workplace disputes prompily and effectively.  Makes clear to staff what is expected of them both Individually and as a team/group; clarifies the extent of their authority.  Effectively represents the Department and the program agency internally and externally. Actively engages the cooperation of Interextential stakeholders in working on common tasks or group projects; shares work and decision-making with others.  Pative  here is an open relationship among employees' that fosters an environment among the staff tifat allows common goals and tasks to be complished. There have been no workplace disputes between the employee's or the employee's and supervisor. The supervisor promot a open, communicative environment where employees can readily access information and resources to move forward and accomplish goal dissks. Good working relationships and communications with fair and open-minded values minimize disputes promptly and effectively.	
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operations, both individually and as a group, have been addressed many times during the year. Assignments have been fair and eventy	
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y having an aper communication line between the mining communities, the supervisor and others in the mining community, common task	
pals and projects have been addressed during the year. By sharing the work during the course of the year, decision making has been ma	
aster by all the employees. The supervisor makes clear to the mine operators what is required and expected from them with prompt	
olification of any incident that occurs at the mine. This process has anabled the inspector to conduct his inspection/investigation in a time! aport, and reduced exposure of miner to unsafe working conditions.	le
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Fage 3 of 8 Frence actions a	le

Problem Solving and initiative	□ Exceed Ø Meel □ Need to Improve □ Fall
eriormance Standard for Meet  • Stresses innovation and risk-taking. Analyzes problems and develops at calculated risks to move program forward.	temative solutions, emphasizing new approaches. Takes
Displays an attitude that accepts mistakes as part of the developmental;	process, as the arganization works to achieve results.
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The supervisor has been innovative and has not healtsted in taking ris opportunity. He accepts mistakes with the attitude as part of the devel	
	☐ Exceed Of Meet ☐ Need to Improve ☐ Fel
Performance Standard for Meet  • Ensures continuing application of, and compliance with, applicable Equal Promptly addresses allegations of prohibited discrimination, harassment throughout the organization.	il Emckryment Opportunity (EEO) laws, requisitors, and policies.
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Performance Standard for Meet  • Ensures continuing application of, and compliance with, applicable Equal Promptly addresses allegations of prohibited discrimination, harassment throughout the organization.  arrative  The supervisor displays a strong awareness concerning discrimination and policies. He works relentlessly to promote a better working relation.  The supervisor is an advocate of treating everyone fairly and equitably.	il Employment Opportunity (EEO) laws, regulations, and policies. , and retaliation, ensures EEO principles are adhered to matters and compliance with EEO laws, regulations natitip between the amployees and the supervisors.  He promotes and encourages this policy by example. hing issues of discrimination.  ( group to promote team effort and sharing knowledge
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J. Organizational Performance Elements. L. At the beginning of the performance cycle, the rating official must provide, in Section J, four critical, results-specific elements and standards, at least one of which demonstrates linkage with the Secretary's vision of Good Jobs for Everyone that the employee will be held accountable for during the performance cycle. Each performance standard must be written at the Meats level and includes measures of performance such as quality, quantity, timeliness and cost effectiveness. Standards should be clear and not include detailed milestones or descriptions of the process and methods used to achieve the results. in assigning a rating to each element, please rate the employee at one of the following four levels and include a written narrative as appropriate: Exceeds described level of performance (narrative required) Meets described level of performance (nemative not required) Needs to improve in order to meet the level of performance (nametive required) Falls to meet described level of performance (namelive sequired) Most Most ☐ Need to Improve Result #1 in support of the Secretary's Vision of Good Jobs for Everyone through Outcome Goal 2 - Securing safe and healthy workplaces, wages and overtime, particularly in high-risk industries and Outcome Goal 10 - Voice in the Workplace: Demonstrates efforts toward the reduction of the mining fetality injury incidence Rate in the District's Coal mines in accordance with the performance goals end indicators. Demonstrates efforts toward the reduction of the ALL injury incidence Rate in the District's Coal mines in accordance with the performance goals and indicators. Moreltor mine safety and health program area to ensure that citations/orders are timely termineted, and Hazard Condition Complaints are timely processed. Performance Standard Performance is satisfactory when: A 5% reduction in FY10 from the average number of fatalities for FY2005 - FY2009. The status of citations issued is monitored for timeliness of abatement. Performance will be measured by the degree to which the District is able to terminate citations within the period established by policy for abelement, and Hezard Condition Complaints are timely processed. Progress will be measured by using a variety of reports. Namative The supervisor believes in firm and fair enforcement. To reduce injuries and falalities he has instructed the inspectors to use the appropriate level of enforcement when issuing citations and orders. He reviews all citations and orders issued by the inspectors, providing oversight to ensure consistency among his workgroup. The supervisor provided accident reports, information retated to serious injuries, near misses and fatalities to be shared with the miners and operators by the inspectors, thus enhancing public relations with the mining community. This information was presented in a manner that corresponded with conditions and situations that might be present at each mine.

The inspectors have been instructed to make sure all citations/orders/saleguards are abated within the appropriate time frame. The supervisor monitors the due dates and holds the inspectors responsible for the paperwork they issue. When citations/orders/saleguards have been found to be past due, the issuing inspector has been immediately assigned to return to the mine and investigate to ensure the abetement has been completed.

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Result #2	Exceed   Meet   Need to Improve     Fall
In support of the Secretary's Vision of Good Jobs for Everyone through wages and overtime, particularly in high-risk industries and goal 10 V	
Demonstrates efforts toward the reduction of the fatalities and injuries is and other reports to direct resources to monitor and improve enforcement performance goals and indicators. Incumbent monitors MSHA Coal Ke the acceptable norms and averages for the Coal Districts' unique and defects of the District's geography and work load when determining acceptable.	nt performance and quality in accordance with the y indicator and other reports for performance results outside istinct performance levels. Incumbent understands the
Performance Standard	
Performance is satisfactory when:	
The incumbent demonstrates the use of the MSHA Key indicators and process, demonstrates an understanding of the root causes for variance variances, accounts for their occurrence and remedy where applicable. The incumbent must ensure that the completion rate of all E01 inspectionly may be granted if the incumbent can demonstrate supporting aberability that prevented 100% completion. The completion rate of all E01	es in monthly reporting, assigns responsibility for the and shares best practices with relevant MSHA employees. ons is 100% within their respective District. Exception to this rations beyond the control of the incumbent's management
Narrative	
The supervisor insists and instills in his inspectors to be firm and fair in He has encouraged inspectors to use the appropriate level of enforce	
The supervisor uses the MSHA key indicators and other reports to din performance and quality in accordance with the performance goals an	
Key indicators are used by the supervisor in the daily decision making root cause discrepancies in monthly reporting. The supervisor encour program that will help develop an inspection profile and/or strategy the	ages the use of the data retrieval system and mine profile
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Result #3	Ø Exceed □ Moet □ Need to Improve □ Fall		
n support of the Secretary's Vision of Good Jobs vages and overtime, particularly in high-risk indu-	for Everyone through Outcome Goal 2 – Securing safe and healthy workplaces, stries and goal 10 – Volce in the Workplace:		
Take appropriate action to ensure the District achieves a 2% reduction from the previous year for dust and noise sample results exceeding the allowable limits.			
Performance Standard			
Parformance is satisfactory when:			
inspections to target the most egregious and pers	for underground and 2x/year for surface in addition to conducting focused sistem violators; initiate systematic reviews of the quality of dust controls in to foster continuous improvement. Conduct a noise survey for each entity (both		
Narrative			
The supervisor ensured that all respirable dus FY 10. The GPRA dust standard terget for the assigned target for the District GPRA goals.	d sampling was conducted at 100% for underground and surface mines for e field office was exceeded in all four quarters which greatly enhanced the		
spaken nakalingi sidigatata samalayatan nessisi iki sisi di AP mi katalan nesagan datapun 1967 Katalas Passi da amin mi AP di memi	്രിട്ടുത്തിലാണ്ട് ഒഴ്ച് പുടത്തിൽ എൻ വര്ഷ്ട് വരത്ത് വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്ഷ്ട് വര്യ വര്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്ഷ്ട് വര്യ വര്യ വര്ഷ്ട് വര്യ വര്യ വര്യ വര്യ വര്യ വര്യ വര്യ വര്		
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Resid 84		Meet C Need to Improve C Fell
In support of the Secretary's vision of G	lood Jobs for Everyone through Outcome Goal 2	- Securing safe and healthy
workplaces, wages and overtime, particularly in	n high-risk industries and Goal 10 – Volce in the	Workplace:
Use all available looks in an affort to reduce ar the MiNER Act.	nd/or eliminate the inconsistent enforcement of k	ASHA regulations, the Mine Act and
Use all available tools in an effort to reduce an	d/or eliminate the deficiencies identified in Accor	uniability, District and Peer reviews.
incumberd will review findings noted in such re	views and limely implement corrective actions.	
Performance Standard	>	
Performance is met when:		
(1) MSHA handbook, policy and procedu	nes have been followed;	
<ul><li>(4) Field Activity and Second Level review</li></ul>	is to reduce or eliminate repeat audit findings an wa are accurately completed and all deficiencies made to help assure consistency in citations/ord	ere addressed;
(6) Hazard Condition Comptaints are time		······································
<u>All reductions or changes</u> by a Distric	1 CLR during conferences or cortested cases he ittement proposals have been reviewed end app	ive been made with good reason and
Nanašiva		
The supervisor uses all evallable tools and r Act and the Miner Act.	esources to eliminate the inconsistent enforceme	ent of MSHA regulations, the Mine
accountability, district and peer reviews. He procedures. He makes regular mine visits, / communication with miners, mine operators issues from bypassing the field office and go	corts to ensure consistency in an effort to reduce exhibits a high degree of understanding of MSHAA and FAR, at assigned mines in an effort to meand inspection personnel. The professional appoint the district level. These are conducted in visor has displayed a high level of effort and quel	(A handbooks, policy and aintein good and open reach has frequently prevented accordance with MSHA handbook,
organizational performance objectives and n	risco was urspayed a right sever of eiror, and qual nanegament systems to enhance the ability of in as the problems when responding to hazardous	dividuals to identify problems and
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		Previous September 2009

# Performance Management Plan for Managers and Supervisors



Land to be a second and the second se	era informations (2007)	
Employee Name (last, first, middle)     Moore, Thomas V.	Coal	
3. Title, Series, Grade		iod (nun/kt//yyy/i, ;
FIELD OFFICE SUPERVISORY, GS-1822,13		30 = 10119/2011
6. Supervisory Status   Code 2 - Supervisor or Meneger		2/0 - 1911/16-21
The Commence Element	nis and Standards Cardification (1995) CVC (19	
1. I cently that this performance plan X All critical results elements fink to	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	***************************************
	for messurable and/or observable results.	000000000000000000000000000000000000000
	lescipilan and reflect the dulies and responsibilities s	
2. Rating Official Signature		Date (mm/dd/yyyy)
Liver & Help D.		11-15-2010
3. Reling Official Name (last, lins(_viidule)		
Selfe, Lincoln L	00000000000000000000000000000000000000	**************************************
4. Rowing Official Title		
Assistant District Manager, Inspection Division I		2009/12/200
5. Prototype elements and/or standards 🗵 Yos 🗌 No [Final Prototype - 1978] September 1980 (1988) September 1980 (1988) September 1980 (1988) September 1980 (1988)		
		Date (mm/dd/yyyy)
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	3. Raijing Official Name (last, just, middle)	1 1/- 10-0010
	Scife, Lincoln L.	
	4. Rating Official Title	······································
· · ·	Assistant District Manager, Inspection D	balaian I
Lancia de la companya		ENDROS (1805) ENDENDROS (1807) EN 1807 br>EN 1807 EN 180
		Date (wanted and
1s. I discussed this piso with employee. 1b. Employee written comments so		Date (mm/ds/yyyy)
	77) B. Reviewing Official Stignature 7	Date (m/h/qu/yyyy)
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4. Rail/g Official Name (last, f/g/, fakticle)	7, Révieving Official Name (fast, first, middie)	and the second s
Selfe, Lincoln L.	Hardman, Robert G.	
5, Rothe Calde Title	E. Reviewing Official Title	
Assistant District Manager, Inspection Division I	District Menager	
	oss Review Centification 255. 138-25 Editor	
	3 Pating Official Cinnetius	Date (mm/dd/yyyy)
1. The mid-lenn progress review 1 Yes No (11 No, explain below, has been conducted.		AJ- OJ. 2011
•	4. Raising Official Name (last, ficel, middle)	
	Jufe Lava L.	
2 Employee Signatury // Oale (mp/ddy)		**************************************
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Implicate performance appraisal and rating ballow.	Marie Liberard out the second comments of the second control of the second control of the second control of the	2.17 State of the converse of
Exemplary Exceed standards for all elements	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	2a. I discussed this appraisal with employee.
to the state of th	rs but not sit; meet clandards for all other elaments	T OF Yes C No
\$0000000\fraction to the contraction of the contrac	xceed standards for less than 59% of elements	×
Minimally Satisfactory   Need to improve performance for one or m		2b. Employee written comments are alteched
Unsatisfectory Fall to meet standards on one of more elen		1 D Yes Griso
1. Purpose of Appraisal   Interior Reting		Date (mrpix/dyyyy)
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4-Rating Official Signature - Oslie (mm/datyy)		Dele (nehiculyyyy)
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Substantia Official Name (fast, (fist, migrate)	9. Reviewing Official Name (last, first, middle)	***************************************
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6. Railing Official Tilia	10. Reviewing Official Title	4444
Assistant District Manager	District Manager	
Inspection Ulvision I		

Page 1 of 13

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1. For each element, select the appropriate rating. Element ratings: E = Exceed; M = Meet; Nt = Need to Improve; F = Fall

Managerial Competency Elements	T	Jeme	nt Rat	ing
manafleates combatants comments	ΙĒ	M	NI	F
Leedership	18			
Resource Management				
Costition Building and Communication	1			
Problem Solving and Initiative	100			
Equal Employment Opportunity	7	200		

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1. Leadership	© Exceed ☐ Meet ☐ Need to Improve ☐ Fail

#### Performance Standard for Meet

- Develops and maintains long and short-term strategic planning to facilitate the achievement of the Agency's mission, consistent with key Agency policies and priorities and sconomic, political, and social trends affecting the organization.
- . Anticipates and meets the needs of clients/customers. Sets standards for customers' needs and satisfaction and meets tham.
- Uses Agency performance plans and other management systems to link individual performance to outcomes and to overall organizational
  performance objectives.
- Promotes and maintains diverse and inclusive workforcs by actively recruiting and hiring from diverse applicant pools: festering
  collaboration with individuals from diverse backgrounds, perspectives, and experiences; ensuring opportunities for growth exist equitably
  for all employees; and providing fair and equitable recognition of accomplishments for all employees.

#### Marrathya

The supervisor vigorously monitors the status of all inspections with daily two-way conversation with the inspectors, office personnel and all others that are involved in the inspection process. As a result of these constant communications, if any adjustments or reassignments are deemed necessary; the supervisor makes them with great fortiude with the goals and mission of the Agency as the primary objective. The supervisor has an open door policy that promotes and provides an atmosphere that encourages input thus allowing problems solving to remain at the lowest level possible. The supervisor has developed plans for both short term goals and long term goals that advers to key Agency policies as well as economic, social and political trends

During the year many hours of discussions with the mine operators, compliance specialist and others have allowed for unforesean problems to be addressed even before they became a problem. This allows the supervisor to address and handle-controveray before it excluses. By continuing to stay in loudy with the miners, mine operators, other enforcement agencies and other elements of the mining community, the needs of the community are anticipated and approached with a procedure attitude. By staying actively involved bases have been avoided before they became a serious problem for the miners, mining community and the Agency.

The supervisor makes regular visits, AA and FAR, to assigned mines in an effort to maintain good and open communications with miners, mine operators and inspection personnel. This professional approach has frequently prevented issues from by-passing the field office and going to the district level. The supervisor has fostered a frust and respect from miners, mine operators and inspectors that he has frequently been requested by the mine operator to assist in resolving mine problems.

The supervisor has displayed a high level of effort and qualities by implementing the overall organizational performance objective and management systems to tink and enhance the ability of individuals to identify problems and give them the resources necessary to address most problems.

The supervisor leads by example and fosters a team atmosphere that improves communication and morals in the work group(s).

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Page 2 of 8	•	<b>66</b> v	x # **	*
The state of the s				

E. Resource Management  □ Texace of Meet □ Need to Improve □ Fail Performance Standard for Meet  □ Ensures that stalf are appropriately selected, utilized, appreised and developed. Actively develops the talent of the stalf and develope qualified candidates for positions in the organization.  □ Prevents stalf from working unauthorized was eventure hours by consistently applying Fak Labor Standards Act (FLSA) and DOL policy regarding overtime, craintaintop an awareness of staff hour working and authorization.  □ Uses Informat training, continuous annangerial assessments, frequent and constructive feedback and appropriate recognition to promote stalf mortals and to ensure quality work products and osstroner service.  □ Proactively works to maintain a safe workplace and to prevent accidents, injuries and linears. Resolves conflicts in a positive and constructive manner.  □ Assures that the organizational budget is administrated in a manner that supports the accomplishment of program goals and reflects sound filmschild management.  □ Pavelops, implements, and maintains strategic and operational plane to facilities the achievement of program responsibilities, assigned under the American Recovery and Rehivestiment Act (ARRA) provisions, consistent with the Secretary's anduring vision of disordable for Cheypone. Assures that allocated ARRA floads are administrated in a complien with the Secretary's anduring vision of disordable for Cheypone. Assures that allocated ARRA floads are administrated to the American Recovery and Retinustrient Act, and complies with the Departmental requirements for accurate recording and reporting allocated ARRA floads are administrated with the Secretary's anduring vision of disordable for Cheypone. Assures that allocated ARRA floads are administrated with the Secretary's anduring vision of disordable for Cheypone, Assures that allocated ARRA floads are distributed and the secretary and the parameters of Departmental Fiscal Year 2010 ining goals by embracing the use of availables ining flex			Previous afficients and russ title.
<ul> <li>Ensures that staff are appropriately selected, utilized, appreised and developed. Actively develops the takent of the staff and develops qualified candidates for positions in the organization.</li> <li>Prevents staff from working unauthorized overtime hours by consistantly applying Fair Labor Standards Act (FLSA) and DCL policy regarding overtime, maintaining an awareness of staff hours worked and organizational goals accomplished, and ensuring staff are knowledgeable of how FLSA designation impacts overtime eligibility and authorization.</li> <li>Uses informal training, continuous nanagerial assessments, fraquent and constructive feedback and appropriete recognition to promote staff morals and to ensure quality work products and customer service.</li> <li>Proactively works to maintain a safe workplace and to prevent accidents, injuries and librers. Resolvus conflicts in a positive and constructive manner.</li> <li>Preventively works to maintain a safe workplace and to prevent accidents, injuries and librers. Resolvus conflicts in a positive and constructive manner.</li> <li>Assures that the organizational budget is administered in a manner that supports the accomplishment of program goals and reflects sound financial management.</li> <li>Davelops, implements, and maintains strategic and operational plans to facilities the achievement of program responsibilities, assigned under the American Recovery and Reflect (ARRA) provisions, consistent with the Secretary's anduring vision of Good dobs for Everyone. Assures that allocated ARRA funds are administered in a coordance with the Department of program responsibilities, assigned under the American Recovery and Reflects. And funds are administered in accordance with the Department of Copartmental Recovery and Reflects and assessment punds in the American Recovery and Reflects.</li> <li>Actively recruits to attract and assect qualified applicants with the competencies needed to successfully meet Departmental Fiscal Year 2010 h</li></ul>	 . Resou		•
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#### Performance Standard for Mest

- Promotes an open, communicative environment where stell can readily socces resources and move forward to accomplish common goals and tests. Fiendles workplace disputes promptly and effectively.
- · Makes clear to staff what is expected of them both individually and as a tearnityroup; clarifies the extent of their suthority.

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Effectively represents the Department and the program spency internally and externally. Actively engages the cooperation of internal and
external stakeholders in working on common tasks or group projects; shares work and decision-making with others.

#### Namalike

There is an open relationship emong employees' that fosters a positive emfronment among the staff that allows common goals and traks to be accomplished. There have been no workplace disputes between the employee's or the employee's and supervisor. The supervisor promotes an open, communicative environment where employees can readily access information and resources to move forward and accomplish goals and tasks. Good working relationships and communications with fair and open-minded values minimize disputes promptly and effectively.

Expectations, both individually and as a group, have been addressed many times during the year. Assignments have been fair and evenly assigned.

By having an open communication line between the mining communities, the supervisor and others in the mining community, common tasks, goals and projects have been addressed during the year. By sharing the work during the course of the year, decision making has been made assist by all the employees. The supervisor makes clear to the mine operators what is required and expected from them with prompt notification of any incident that occurs at the mine. This process has enabled the inspector to conduct his inspection/investigation in a timelier report, and reduced exposure of miners to unsafe working conditions.

The supervisor has made himself readily available to the inspectors to assist and provide guidance when warranted. Through this eliont, coefficien of the work group has been easily siterined and foetered.

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	<sub>process</sub> .		
4. Problem Solving and Initiative	Z Exceed	Meet	☐ Need to Improve ☐ Fall
Performance Standard for Meet			
<ul> <li>Stresses innovation and risk-taking. Analyzes problems and develops alternative calculated risks to move program forward.</li> </ul>	e solutions, empha	es gnixiae	v approaches. Takes
<ul> <li>Displays on attaude that accepts mistakes as part of the developmental process.</li> </ul>	as the organization	on works la	o achieve results.
Namelye	************	******	** ********************************
The supervisor has been innovative and has not heatisted in taking risks to move the Agen accepts mistakes with the attitude as part of the developmental process.	cy programa forwi	ed at any	given opportunity. He
The supervisor has worked with the technical program groups to explore and create atterning to the technical groups, he has motivated the inspectors to develop innorm.			

5. Equal Employment Opportunity	☐ Exceed Wifeet ☐ Need to Improve ☐ Fail
Performance Standard for Meet  Ensures continuing application of, and compliance with, applicable E Promptly addresses allegations of prohibited discrimination, harasen throughout the organization.	nent, and retalization; ensures EEO princip as are adhered to
Narrative The supervisor displays a strong awareness concerning discrimination maters relarifessly to promote a better working relationship between the employees a	said compflance with EEO laws, regulations and policies. He works
The supervisor is an edvocate of treating everyone fairly and equitably. He probeen trained as to what steps are to be taken concerning issues of discriminate	
The supervisor uses informal training such as meetings within the work group individual efforts to reach set goals and policies of all assigned mines.	to promote team effort and sharing knowledge and experiences of
The leadership abilities foster a team atmosphere that broadens collectively ar to meet our mission and goals,	id individually the workgroup's knowledge and enable the work group
The supervisor encourages and promotes safety at the office as well as while a conducting safety meetings and raising employee awareness of their immediate.	
All employees are treated fair and equilable.	
The supervisor is an active mentor and frequently travels with the inspectors in improve overall performance.	unitoring their performance and providing feedback as necessary to
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#### J. Organizational Performance Elements

At the beginning of the performance cycle, the rating difficial must provide, in Section J, four critical, results-specific elements and standards, at least one of which demonstrates linkage with the Secretary's vision of Good Jobs for Everyone that the employes will be held accountable for during the performance cycle. Each performance standard must be written at the Meets level and includes measures of performance such as quality, quantity, timeliness and cost effectiveness. Standards should be clear and not broade detailed milestones or descriptions of the process and methods used to achieve the results.

in assigning a rating to each element, please rate the employee at one of the following four levels and include a written namative as appropriate:

- Exceeds described level of performance (narrative required)
- Mosts described level of performance (namelive not required)

<ul> <li>Needs to improve in order to meet the level of performance (narrative required)</li> </ul>	(ed)			
Result#1	Ø Excesd	O Meet	☐ Need to Improve	O Feil
in support of the Secretary's Vision of Good Jobs for Everyone through Outcome Goal 1 wages and overtime, particularly in high-risk industries and Outcome Goal 1				laces,
Demonstrates efforts toward the reduction of the mining fatality injury incides the performance goals and indicators.  Demonstrates efforts toward the reduction of the ALL injury incidence Rate is performance goals and indicators.  Monitor mine safety and health program area to ensure that citations/orders Complishts are timely processed.	n the District's	Coal mine	s in accordance with ti	
Performance Standard			***************************************	
Performance is satisfactory when:				
A 5% reduction in FY10 from the average number of fatelities for FY2005 – I	FY2008.			
The status of citations issued is monitored for timeliness of abatement. Perf District is able to terminate citations within the period established by policy in timely processed. Progress will be measured by using a variety of reports.				
Narrativs	000000000000000000000000000000000000000	***************************************	······································	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~

The supervisor believes in firm and fair enforcement. To reduce injuries and fatablies he has instructed the inspectors to use the appropriate level of enforcement when issuing citations and orders. He reviews all citations and orders issued by the inspectors, providing oversight to ensure consistency among his workgroup.

The supervisor provided accident reports, information related to serious injuries, near misses and fatalities to be shared with the miners and operators by the inspectors, thus enhancing public relations with the mining community. This information was presented in a manner that corresponded with conditions and situations that might be present at each mine.

The inspectors have been instructed to make sure all citations/orders/safeguards are ebated within the appropriate time frame..

The supervisor monitors the due dates and holds the inspectors responsible for the papervork they issue which has resulted in very few citations going beyond the date scheduled for abetement. When any citations/orders/safeguards have been found to be past due, the issuing inspector has been immediately assigned to return to the mine and investigate to ensure the abatement has been completed.

Page 5 of 8

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Result #2	G Exceed	D Meet	Need to Improve	□ fall
in support of the Secretary's Vision of Good Jobs for Everyone through wages and overtime, particularly in high-risk industries and goal 10 - Vo			afe and healthy work;	olaces,
Demonstrates afforts toward the reduction of the fatelities and injuries in and other reports to direct resources to monitor and improve enforceme performance goals and indicators. Incumbent monitors MSHA Coal Key the acceptable norms and averages for the Coal Districts' unique and dieffects of the District's geography and work load when determining acceptable.	int performance ar y Indicator and oth Istinct performance	id quality in er reports f s levets. In:	accordance with the or performance results tumbent understands	i ouiside
Performance Stendard		***************************************		
Performance is satisfactory when:				
The incumbent demonstrates the use of the MSHA Key Indicators and opposess, demonstrates an understanding of the root causes for variance variances, accounts for their occurrence and remedy where applicable to the incumbent must ensure that the completion rate of all E01 inspectionly may be granted if the incumbent can demonstrate supporting abort ability that prevented 100% completion. The completion rate of all E01	es in monthly repo and shares best pr ons is 100% within relions beyond the	rling, assigr actices with their respe control of t	is responsibility for the relevant MSHA empl :the District. Except ne incumbent's manage	oyees. on to this gement
•	•			
Narraive			THE RES MINISTER OF THE PARTY O	
The supervisor Instats and instills in his inspectors to be firm and fair in has monitored and encouraged inspectors to use the appropriate level of				s. He

The supervisor uses the MSHA key indicators and other reports for oversight assistance and directs resources to improve enforcement performance and quality in accordance with the performance goels set by the Agency.

Key indicators are used by the supervisor in the daily decision making process by the supervisor high level of understanding the root cause discrepancies in monthly reporting. The supervisor encourages the use of the data retrieval system and mine profile program that will help develop an inspection profile and/or strategy that meets the Agency's mission and goal.

······································	***************************************			944444
Result #3 In support of the Secretary's Vision of Good Jobs for Everyone through Outo	Canil	Mest	C Need to Improve	☐ Fail
wages and overtime, particularly in high-risk industries and goal 10 - Voice	zome Goarz — In the Workplac	æ; erning s	ale sum i mainth anust	rauco,
Take appropriate action to ensure the District achieves a 2% reduction from exceeding the allowable limits.	the previous y	ear for dust	and noise sample re	uls
Performance Standard	900	000000101-9-9-01-01-01-01-01-01-01-01-01-01-01-01-01-	<u>.</u>	
Performance is satisfactory when:		·		
All entities are sampled for Respirable dust 4x/yr for underground and 2x/ye inspections to larget the most egregious and persistent violators; initiate sys approved mine ventilation and dust control plans to foster continuous improvunderground and surface) 1x a year.	temetic review	s of the qua	slity of dust controls in	(both
	3			
*				
	00000000000000000000000000000000000000	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	***************************************	
Narrative  The supervisor ensured that all respirable dust sampling was conducted at 1 The GPRA dust standard (arget for the field office was exceeded in all four of the District GPRA goals.	100% for under quarters which (	ground and greatly enh	l surface mines for FY anced the assigned to	10. Ingel for
THE THESTON PALL CALL BOSENSE				
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		and the stage of t	As analysis and other parameters are a second or a	
	•			
. Page 7 of 8				Form OL 1-382 I September 2008 no aro net usable.

Wages : Use all the MIN Use all :	84 ont of the Secretary's vision of Good Jobs for Eand overtime, particularly in high-risk industries is available tools in an effort to reduce and/or elitiER Act. available tools in an effort to reduce and/or elities validable tools in an effort to reduce and/or elities will rayle with the following and will rayle with the content will rayle with the content and the content will rayle with the content will rayle with the content and the content an	and Goal 10 - Volce : minate the inconsisten ninete the deficiencies	In the Workpli I enforcement I identified in A	ece: of MSHA ro coountabili	egulations, the Mine	Act and
	nanca Standani	00000000000000000000000000000000000000		***************************************	<u></u>	***************************************
Periorm	nance is mel when:	· •				
(2)	Demonstrated efforts have been made to red Field Activity and Second Level reviews are a There are clear demonstrated efforts made to Hazard Condition Completes are timely proc	uce or eliminate repea courately completed a help assure consister assed; and tied in accordance wit uring conferences or o proposals have been	ind all delicler ncy in cliation: h MSHA hono onlesied case	icies áre Ad Morders issi Ibook, polic is have bee	dressed; ued; y and procedural guis n made with good re:	lance. seon end
Narrativ	*	***************************************	adhennahribuurreennnnnnhhhteid	Tooching pools on recontribution	90000000000000000000000000000000000000	***************************************
	pervisor uses all available tools and resources t Miner Act.	o eliminale the incons	istent enforce	ment of MS	HA regulations, the N	line Act
account He mak mine op	pervisor meticulously monitors all reports to ent tability, district and peer reviews. He exhibits a ces regular mine visits, AA and FAR, at assigns sensions and inspection personnel. The profess nd coing to the district level. These are conduc	high degree of under d mines in an effort to donel approach has fo	standing of Mi maintain goo squently previ	SHA hendb d and open Inted bases	ooks, policy and proc communication with s from bypassing the	edures. miners, Reid

The supervisor has displayed a high level of effort and qualities by implementing the overall organizational performance objectives and management systems to enhance the ability of individuals to identify problems and give them the resources necessary to address the problems when responding to hazardous conditions complaints and process them in a finely manner.

General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

Manag	erial Competenc	Element: Leader	ship		Tom Moore	101	nly FYII €			
N/R	Evaluatio	n Element .	What This Includes		Exceed	T	Mcet	NI	F	20000
	Result 1: Develops and short-term strafacilitate the achievency's mission or performance consistorganizational policitical, affecting the organization organizati	egic planning to ement of the d to improve ent with key as and priorities and and social trends	Strategic Planning Support for Leadership Organizational Performance	**************************************	Demonstrates extensive awareness and understanding of the Department's mission and strategic vision.  Actively works to develop and/or implement forward-looking strategic plans that maximize the Agency's ability to achieve its objectives.  Employs innovative uses of Agency resources and technologies to meet performance indicators under its strategic plan.		Can effectively communicate and manage the implementation of results-oriented strategic plans to achieve the Agency's goals.  Demonstrates an understanding of the Agency's performance indicators.			ANNA MATARIA CONTRACTOR A CONTRACTOR AND A CONTRACTOR AND
0	and satisfaction  Uses affective of including balance.	tomers to provide or customer needs , and meets them. usiness practices and measures to her, stakeholder, and	Customer Service	*	Provides the highest quality service to Agency customers, stakeholders, and employees by anticipating, addressing, and proactively managing current and future needs.	8	Consistently anticipates and meets customers' needs and satisfies standards for effective customer service.			regional and the control of the cont
О	Result 3: Displays a accepts mistakes a developmental pro- organization works; that promote innova greater effectivenes	part of the ess, as the o achieve results Illon, efficiency, and	Innovation & Risk	*	Engenders a culture that encourages employees to take calculated risks to improve performance.	*	Accepts employees' reasonable mistakes as part of the development process.	) )		**************************************

N/R = Not Rated

General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix) What This Includes Evaluation Element N/R Exceed Meet Result 4: Unks individual performance Leadership Support Shares recognition and Provides opportunities for requirements to key organizational goals. Reward & Recognition routinely rewards colleagues' individual and team · incorporates ofganizational Teamwork accomplishments. development. performance résults into decisions Individual Performance Repeatedly demonstrates an Appropriately uses about Individual performance ability to link Individual with available performance, ratings and recognition. Departmental and agency reward and recognition Makes meaningful distinctions performance requirements. systems. between levels of performance in Effectively uses agency and ratings. Recognizes subordinate Interagency teams to achieve performance and teamwork. agency outcomes. Result 5: Promotes and adheres to the Ethics Acts as a model of integrity Adheres personally to the highest ethical stanifards of public personally and establishes an highest ethical standards service. organizational culture that sets of public service and expectations of the highest encourages ethical ethical standards of public behavior among service among subordinate subordinate staff. Ø. staff. N/R = Not Rated

# General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

Managerial Competency Element: Resource Management

Evaluation Element What This Includes Exceed Meet Result 1: Understands the organization's Financial Management Displays an exceptional level of Manages agency resources awareness and concern for through the utilization and financial processes. · Prepares, justifies, and administers the agency expenditures and administration of program budget. financial priorities. appropriate budget Oversees procurement and contracting Through teamwork and processes and to achieve desifed results. institutional knowledge, requirements. Monitors expenditures and uses costleverages agency resources to Makes decisions based on benefit thinking to set priorities. achieve maximum results. the agency's financial Engages in the identification of priorities and Develops and implements strategies to reduce erronedus and late payments, cost saving strategies and expenditures. prevent Anti-deficiency Act violations, efficiencies. and ensure adisquate management controls. Result 2: Actively recruits to attract and Hiring/Diversity Manages this with an acute Applies merit principles to select qualified applicants with the П understanding of available develop, select, and competencies needed by embracing the use hiring flexibilities and utilizes monage a diverse of available hiring flexibilities, developing workforce. them in order to attract and robust recruitment strategies, and 1 select qualified applicants. maximizing the use of technology. Applies Sets and meets hiring goals to merit principles to develop, select, and maintain strength and reduce manage a diverse workforce. lapsed FTE. Result 3: Understands the Impact of Technology & Identifies and creatively utilizes Appropriately utilizes and technological developments on the Modernization current and new technologies upgrades technologies to organization. to maximize the agency's ability meet agency goals. Makes effective use of technology to to achieve its priorities. achieve resultsi Encourages the use of Ensures access to and socurity of technology to share technology systems. information and engage stakeholders.

N/R = Not Rated

General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix) N/R Evaluation Element What This Includes Excead Mest Result 4: Prevents staff from working Fair Labor Standards in addition, develops and Makes the Fair Labor unauthorized overtime hours by consistently Act Implements strategies that Standards Act (FLSA) and applying Fair Labor Standards Act (FLSA) and reliably document compliance DOL policy available to OOL policy regarding overtime, maintaining with FLSA, supplemented by an employees and on awareness of staff hours worked and awareness of staff hours management and conveys organizational goalsfaccomplished, and worked to corroborate the expectations for ensuring staff are knowledgeable of how FLSA effectiveness of these controls. compliance. designation impacts overtime eligibility and authorization. Managerial Competency Element: Coalition Building and Communication N/R Evaluation Element What This Includes M Exceed Meet Result 1: Promotes an open, communicative Communication & Sets an example of accessibility Manages an open, environment that hispires and encourages Morale and transparency. communicative service motivation, plirit, pride, and trust. Fosters and reinforces a environment that serves Facilitates cooderation and motivates collaborative and engaged the agency's mission. Individual staff members/teams to environment that inspires and accomplish organizational goals. encourages service, motivation, Manages and résolves conflicts in a splifit, pride and trust. positive and constructive manner. Result 2: Effectively represents the Internal & External Serves as an effective Serves as an offective, reliable, Department and the organization internally Relations and persuasive representative representative of his/her and/or externally. immediate agency/office. of the agency and Department Actively engages the cooperation of of Labor on virtually all matters internal and external to the internal and external stakeholders in agency. working on common tasks or group projects; shares work and decisionmaking with others.

N/R = Not Rated

## TAB 6 ATTACHMENT 1: WORKSHEET

## General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

Manag	crial Competency Element: Problem S	olving and Initiative		٤		
N/R	Evaluation Element	What This Includes	Exceed	Meet	NI	F
Manag	Result 1: Stresses Impovation, creativity, and risk-taking.  Analyzes problems and develops alternative solutions, emphasizing new approaches.  Takes calculated risks to move programs forward.  crial Competency Element: Equal Em	Innovation & Risk  oloyment Opportunit	Clearly demonstrates initiative and ability to explore and create alternative solutions to problems. Encourages, promotes, and supports innovative strategies among subordinates.  and Diversity	An effective problem solver. Recognizes Innovation.		
N/R	Evaluation Element	What This Includes	Exceed	Meet	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	
	Result 1: Promotesland maintains a diverse	f m was was no constant		4 871 SATE	NI	TF

N/R = Not Rated

# TAB 6 ATTACHMENT 1: WORKSHEET

General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

N/R	Evaluation Element	What This Includes	Exceed	Meet	NI	F
	Result 2: Builds, trains, and manages workforce based on organizational goals, budget considerations, and staffing needs.  Ensures continuing application of, and compliance with, applicable Equal Employment Opportunity (EEO) laws, regulations, and policles.  Promptly addresses allegations of prohibited discrimination, harassment, and retaliation, Ensures that EEO principles are athered to throughout the organization.	Talent Management Olversity	Displays the highest commitment to the identification and/or recruitment, development, promotion and retention of diverse and talented individuals to build leadership capacity throughout the agency. Is an active mentor and gives clear and actionable feedback to subordinates. Upholds EEO principles. Actively encourages and participates in succession planning.	Manages the workforce to meet the needs of the agency by taking into account EEO principles, succession planning, diversity, recruitment, and training.	· <b>-</b>	

N/A = Not Hated

Sens Sucty and Health Americansing 1100 Wileys October 5 Aimstee of para 201 (2010)



MAR OF HALL

MEMORANDUM FOR JOHN MORAN

Deputy Assistant Secretary

Veterans Employment and Training Service

FROM:

JOSEPH A. MAIN

Assistant Secretary of Labor for

Mine Safety and Health

SUBJECT:

Delegation of Authority

Pursuant to DOL Personnel Regulation (DPR) 771, Section 3.b.1.a, I am delegating to you the authority to make determinations and to serve as the Deciding Official on behalf of the Mine Safety and Health Administration (MSHA) concerning administrative grievances which may be filed by employees Lincoln Selfe, Donald Winston, and Charles Thomas. The grievances would be related to the disciplinary actions these individuals received for failure to carry out official duties. The purpose of this delegation is to expedite grievance processing.

Please contact Ms. Donna Kramer, Supervisory Human Resources Specialist, at 202-693-7686, if you have any questions about the foregoing.

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You can now file your MSHA forms online at www.\\SHA gov. It's easy, it's fast, and it saves you money!

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DEPARTMEN	T OF LABOR		E/S BY: CRYSTAL L. GUY
47. Agency Code	48. Personnel Office ID	P. Approved Date	HUMAN RESOURCES OFFICER
DLMI	3392	12/23/09	

5-Part 50-316

Editions Prior to 7/91 Are Not Usable After 6/38/93 NSN 7540-01-333-6238



Mine Safety and Health Administration 1100 Wilson Boulevard Arlington, Virginia 22209-3939



JUL 1 1 2013

MEMORANDUM FOR JOHN MORAN

**Deputy Assistant Secretary** 

Veterans Employment and Training Service

FROM:

JOSEPH'A. MAIN

Assistant Secretary of Labor for

Mine Safety and Health

SUBJECT:

Delegation of Authority

Pursuant to DOL Personnel Regulation (DPR) 771, Section 3.b.1.a, I am delegating to you the authority to make determinations and to serve as the Deciding Official on behalf of the Mine Safety and Health Administration (MSHA) concerning an administrative grievance which may be filed by employee Jerome W. Bonner. The grievance would be related to a disciplinary action this individual received for inappropriate conduct. The purpose of this delegation is to expedite grievance processing.

Please contact Ms. Donna Kramer, Supervisory Human Resources Specialist, at 202-693-7686, if you have any questions about the foregoing.

You can now file your MSHA forms online at www.MSHA.gov. It's easy, it's fast, and it saves you money!

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John K. Moran
Deputy Assistant Secretary
Veterans' Employment and Training Services
200 Constitution Ave., NW
Room S 1325
Washington, DC 20210

The time limit for filing a grievance may be extended for good cause by mutual agreement between you and Mr. Moran.

If you believe this action was taken in reprisal for whistleblowing, you may raise the matter by filing a MSPB appeal as outlined above, or by filing a complaint with the Office of Special Counsel. The Office of Special Counsel will investigate your complaint and will either file an action on your behalf or notify you or your right to file an Individual Right of Action appeal to the MSPB. A complaint may be filed electronically at www.osc.gov, or may be filed in writing by filling out Form OSC-11, and faxing or mailing the completed form to the Office of Special Counsel at the following address or fax number:

Complaint Examining Unit Office of Special Counsel 1730 M Street NW, Suite 218 Washington, DC 20036-4505 Fax: 202-254-3711

If you feel that you have been discriminated against because of race, religion, color, age, sex, national origin, or disability, you may file an equal employment opportunity (EEO) complaint with the U.S. Department of Labor. If you file an EEO complaint with the U.S. Department of Labor, you should submit it to the Civil Rights Center, Room N-4123, 200 Constitution Avenue, N.W., Washington, DC 20212.

You have the right to be represented by an attorney or other representative of your choice so long as there is no conflict of interest to the agency. However, you must designate your choice of representative in writing to Mr. Moran. Any choice must include your representative's name, address, and phone number.

You are entitled to a reasonable amount of duty time to prepare and present a grievance if otherwise in a duty status. You must request and receive approval from your immediate supervisor for the use of duty time for this purpose.

If there is anything in this notice that you do not understand or if you have a question about the process used, please contact Ms. Donna Kramer, Supervisory Human Resources Specialist, at 202-693-7686.

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Supervisory Mine Safety and Health Inspector (Assistant District Manager for Inspection Programs)

GM-1822-14

#### Introduction

This position is located in a Coal Nine Safety and Health (CMS&H) District organization. The incumbent of this position serves as an Assistant District Manager exercising administrative and technical responsibility for the management and oversight of inspection activities throughout the district as required by the Federal Mine Safety and Health Act of 1977 (P.L. 95-164) (Mine Act). The inspection program consists of inspection activities and accident investigations in the immediate offices of the District and Assistant District Managers and the field offices. The incumbent has staff and line responsibilities over field office supervisors who oversee the work of inspection personnel.

#### Major Duties and Responsibilities

- Directs the inspection program throughout the District and ensures that all safety and health inspections and accident investigations are carried out according to the Mine Act; ensures that deadlines are met and proper coordination is maintained between the Assistant District Manager's office and other organizations within the Agency.
- 2. Reviews inspection program operations in the District; identifies and resolves problems or recommends to the District Manager adjustments to the inspection program; ensures district inspection activities are in compliance with Agency policies; consults with other District Managers and supervisors on work-related changes to enhance consistency in implementation of Agency policies, guidelines, and directives.
- 3. Advises the District Manager and field personnel on a full range of health and safety activities, court and/or hearing proceedings, and technical and administrative matters; incumbent is subject to call at any time to offer testimony of fact at hearings and court proceedings on appeals presented under provisions of the Mine Act.
- Serves as Acting District Manager in the absence of the District Manager and directs all District activities.
- Acts as a consultant and advisor on mine health and safety activities to State mining, health, inspection and commerce officials; with mining industry officials; with management and labor officials; and with independent mine owners for the purpose of rendering expert advice and explaining the provisions of the Federal coal mining laws; represents the District Manager at technical meetings, conferences, and seminars.

- Directs, coordinates and/or assists in on-site rescue and recovery operations following mine explosions, fires and other mine disasters.
- 7. Accompanies inspectors, engineers, and other employees, during their regular or special assignments in coal mines and related plants to assure the utmost work efficiency and quality, and makes personal examinations of underground and surface coal mining operations to keep fully informed on the latest technical developments in mining processes and equipment.
- 8. Serves as a member of various MSHA committees established to develop MSHA policy and guidelines regarding the inspection programs. As an acknowledged specialist on the inspection program and all aspects of coal mine operations, aids the committees in establishing reasonable technical requirements for implementation of the Mine Act; reviews proposed regulatory and programmatic changes; and provides advice on the probable impact of changes on the inspection program and recommends adjustments.
- 9. Directly or indirectly supervises a large staff of professional, technical, and support personnel located throughout the District; selects or recommends the selection of subordinate staff; makes decisions on work problems presented by subordinate supervisors; evaluates performance or reviews evaluations made by subordinate supervisors; reviews or resolves serious complaints or disciplinary

EEO: As a supervisor, incumbent is responsible for ensuring equal opportunity for all employees supervised by identifying areas where meaningful steps toward equal opportunity are necessary in all facets of personnel management. In the selection of employees for training, promotion, awards, and recognition, and other career development opportunities, is responsible for assisting every employee to develop skills so that the employee may attain a full utilization of talents. The supervisor also insures fair and unprejudiced employment practices in the recruitment and selection of candidates for appointments to positions and is responsible for initiating and supporting programs relating to the training and the advancement of employees in dead end positions. If its possible for actively supporting the Equal Opportunity Program in day-to-day activities and is evaluated on performance in this area on a regular basis.

<u>IMR</u>: Regardless of the status of local employee, organizations, supervisor is responsible for being knowledgeable about management's role and responsibilities

in labor management relations. Where a local agreement is in effect, is responsible for becoming completely familiar with the terms of agreement.

<u>Safety</u>: As a supervisor, incumbent is responsible for the on-the-job safety and health of all employees under the District's jurisdiction. Initiates efforts conforming to established local and MSHA safety programs to satisfy this responsibility. Responsibilities include identifying and correcting job safety and health hazards; instructing employees on safety requirements for job assignments; reviewing and reporting loss incidents, in accordance with MSHA and Office of Employees' Compensation regulations; initiating corrective measures for violations of the Occupational Safety and Health Act standards, and directing the periodic inspection of all work places.

#### Factors

#### 1. <u>Nowledge Required by the Position</u>

Comprehensive knowledge of coal mining or extensive practical experience in coal mining and health and safety practices and procedures.

Comprehensive Knowledge of the enforcement activities required under the Federal Coal Mine Safety and Health laws, regulations, policies and procedures.

Managerial and supervisory knowledge in order to effectively manage a complex office and motivate individuals to effectively and equitably enforce CMS&H regulations.

Thorough knowledge of CMS&H and other MSHA organizations and their respective individual programs and policies.

Substantial skill in oral and written communications.

#### Supervisory Controls

Performs under the direction of the District Manager for CMSLM, operating within the framework of prescribed Agency and departmental policies and guidelines. Exercises independence in planning and scheduling District inspection operations. Results of incumbent's work are evaluated in terms of effectiveness of programs; adherence to Agency policies and achievement of program objectives.

#### 3. Guidelines

Incumbent is guided by the Mine Safety and Health Act of 1977 and other Federal, departmental, MSHA and CMS£H policies, procedures, directives; and administrative and technical guidelines in the field of management and administration. Where guidance is vague or unclear incumbent has substantial latitude for interpreting and applying policies, guidelines, procedures, etc.

#### 4. Complexity

The incumbent must apply knowledge, experience, and seasoned judgement in planning and coordinating various safety and health programs and enforcing: a wide range of safety and health standards which are continually being issued, revised and amended. Enforcement of these standards often leads to controversial and complex actions which have to be negotiated in a sensitive manner.

#### 5. <u>Scope and Effect</u>

The responsibilities of this position encompass the enforcement of all coal mine safety and health standards and regulations in a uniform and equitable manner, which contributes to the overall effectiveness of the CMS&H organization and enhances the mission of MSHA.

The enforcement responsibilities and the sanctions imposed by the incumbent are of economic, social, and frequently political in nature, and the incumbent must effectively deal with grieved parties while protecting and promoting, as their paramount responsibility, the health, safety and welfare of the thousands of workers employed in the industry. The incumbent, as a representative of the Secretary, has the responsibility and suthority to cease the operation of a mine if the incumbent detects a violation of regulations felt sufficiently severe to endanger the health and safety of miners. Decisions may adversely affect both the company and the employees in that the financial burden of compliance under certain circumstances could cause closure of the mine.

According to the National Safety Council underground coal mining is the most dangerous occupation in America based on accidental death and serious injury rates. There is intense interest in mineral industry health and safety from the White House, the Congress, the Department of Labor, the mineral and allied industries, and the public. Consequently, the mineral and allied industries and other similar positions have an effect on the work program of the Agency,

the Department and the Federal government, and must meet the rigid requirements and high standards of a wide range of interest and a very wide sector of the public.

#### 6. Personal Contacts

The incumbent interacts with corporate officials and highlevel managers across a wide spectrum of the public sector and the Federal government including: Department of Labor, MSHA, CMS&H, other Federal agencies, State agencies, the mining industry, labor organizations and the academic community.

#### 7. Purpose of Contacts

Regularly meets with high-level officials for the purpose of rendering expert advice and explaining the provisions of the law. Confers with employees of the district to execute the administrative, technical and enforcement responsibilities of the organization.

#### 8. Physical Demands

Works in a basically sedentary environment; however, may travel to mine sites as necessary, requiring that the incumbent be physically capable of performing arduous duties of the position without hazard to himself/herself or fellow employees, and be capable of sustained physical exertion and high levels of pressure and stress.

#### 9. <u>Work Environment</u>

Works primarily in an office setting, however, trips to mining operations are necessary. Work underground may be in close confinement, in and out of small spaces, where dampness and low water areas are expected. Crawling on hands and knees is common practice. Climbing ladders without convenient rest stations is a possibility. On occasion, may operate with little light, and be frequently exposed to dust, gases and fumes.

# Performance Management Plan for Managers and Supervisors A. General Information

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G. Performance Summary

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Problem Solving and Initiative	X			
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J. Organizational Performance Elements

At the beginning of the performance cycle, the rating official must provide, in Section J. four critical, results-specific elements and standards, at least one of which demonstrates linkage with the Secretary's vision of Good Jobs for Perior that the employee will be held accountable for during the performance cycle. Each performance standard must be written at the Meets level and includes measures of performance such as quality, quantity, timeliness and cost effectiveness. Standards should be clear and not include detailed milestones or descriptions of the process and methods used to achieve the results.

in assigning a rating to each element, please rate the employee at one of the following four levels and include a written nerrative as appropriate:

- Exceeds described level of performance (narrative required) Meets described level of performance (narrative not required)

<ul> <li>Needs to improve in order to meet the level of performance (narrative required)</li> <li>Falls to meet described level of performance (narrative required)</li> </ul>
Result #1 Need to Improve   Gall
In support of the Secretary's Vision of Good Jobs for Everyone through Outcome Goal 2 - Securing safe and healthy workplaces, wages and overtime, particularly In high-risk industries and Outcome Goal 10 - Voice in the Workplace:
Demonstrates efforts toward the reduction of the mining fatality injury incidence Rate in the District's Coal mines in accordance with the performance goals and indicators.
Damonstrates afforts toward the reduction of the ALL Injury Incidence Rate In the District's Coal mines in accordance with the performance goals and indicators.
Monitor mine safety and health program area to ensure that citations/orders are timely terminated, Hazard Condition Complaints are timely processed, and mine plan approvals are availuated in a timely manner.
Performance Standard
Parlormance is satisfactory when:
A 5% reduction in FY10 from the average number of fatalities for FY2005 - FY2009.
The status of citations issued is monitored for timeliness of abatement. Performance will be measured by the degree to which the District is able to terminate citations within the period established by policy for abatement, Hazard Condition Complaints are timely processed, and mine plan approvals are evaluated in a timely manner. Progress will be measured by using a variety of reports.
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Result #2	MExceed O Meel O Need to Improve O Fail
in support of the Secretary's Vision of Good Jobs for Everyone thr wages and overtime, particularly in high-risk industries and gool fit	
Demonstrates efforts toward the reduction of the fatalities and inju and other reports to direct resources to monitor and improve enfor	ries in the District's Coal mines by using the MSHA Key indicators cement periormance and quality.
Incumbent monitors MSHA Coal Key Indicator and other reports fo averages for the Coal Districts' unique and distinct performance le geography and work toad when determining acceptable average p	vels. Incumbent understands the effects of the District's
Performance Standard	
Performance is satisfactory when:	
The incumbent demonstrates the use of the MSHA Key Indicators process, demonstrates an understanding of the root causes for variances, accounts for their occurrence and remedy where applic The incumbent must ensure that the completion rate of all E01 ins incumbent can demonstrate supporting aberrations beyond the co-completion. The completion rate of all E01 inspections at 100% we	riances in monthly reporting, assigns responsibility for the able and shares best practices with relevant MSHA employees, pections is 100%. Exception to this only may be granted if the ntrol of the incumbent's management ability that prevented 100%.
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See attached nanctue.	
ander – martination or strationalisms see than that the proposition of the section of the control of the contro	. നടന്നത്തെ ആല സ്വത്ത് അംഗത്ത് മിലം പൊത്രുക്കാന്റെ സ്വത്ത് സ്വര്ത്ത് വര്ത്ത് വര്ത്ത് വര്ത്ത്ത് വര്ത്ത് ് വര്ത്ത് വര്ത്ത്ത് വര്ത്ത് വര്ത്ത്ത് വര്ത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്രത്ത്ത്ത്രത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്ത്രത്ത്രത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്ത്രത്ത്ത്രത്ത്ത്രത്ത്ത്രത

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n support of the Secretary's Vision of Good Jobs for Everyone through Outcome Goal 2 — Securing safe and healthy workplaces, vages and overtime, particularly in high-risk industries and goal 10 — Voice in the Workplace:  Take appropriate action to ensure the District achieves a 2% reduction from the previous year for dust and noise sample results acceeding the allowable limits.  Terformance Standard  Terformance is satisfactory when:  In your respective District, focused inspections are used to target the most egregious and persistent violators; conduct special imphasis Respirable coal mine dust and noise inspections in FY 2010; continually review noise controls in situations of continuing con-compliance to determine if all feasible noise controls have been applied; review and improve coal mine dust-related inspections assed on lessons learned in the "Dust Busters" effort; conduct quarterly reviews of sampling data; initiate systematic reviews of the quality of dust controls in approved mine ventilation and dust control plans during the six-month review of the plans to foster ontinuous improvement.		nyanyanyan wasan w	5mg 4 5mg 4	4 0 - (
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#### Leadership

- established, monitored, and accomplished goals consistent with National objectives
- selected and developed staff to meet the needs of the Agency
- made himself available to assist others and other offices with problem solving
- conducted numerous meetings with mine operators and miners to address district goals and expectations
- set an example for his employees to enhance the professionalism among the District 4 employees
- instrumental in coordinating the Southern West Virginia Mine Rescue, Bench, First Aid, and Pre-Shift Contest

#### Resource Management

- has been active to assist in staff selections for the district
- engages with newly hired inspectors to ensure they are receiving proper training and staying on their training schedules
- monitors programs in the district, tracks, evaluates, and provides feedback to the personnel involved to ensure objectives are being met in a timely manner
- has monitored manpower needs and adjusted manpower among his offices to ensure completion of the mandated inspections
- serves on the district accident review board

#### Coalition Building and Communication

- manager has developed working relationships with other facets of MSHA (Headquarters, Technical Support, and Mine Emergency Operations) that facilitates meeting Agency goals
- throughout the Fiscal Year the manager has been requested to address mine management and mine examiners to clarify expectations for their responsibilities and has addressed as many as 60 managers in one meeting
- had routine meetings with employees to gather their input when addressing problems or implementing new procedures, drawing on both their education and experience
- worked very closely with the other AUMs to ensure adequate oversight is in place for the field offices
- worked closely with the other facets and mine rescue teams during the Upper Big Branch Mine -South recovery
- worked very close with the State Agency to plan and coordinate the Southern West Virginia Mine Rescue Contest

#### Problem Solving and Initiative

- has been sought by and assisted the field office supervisors with problems and issues that have developed in the field offices
- has worked closely with the technical services groups to gain better plans that are concise and easy for the inspectorate and the miners to understand
- has been sought by technical services groups and mine operators to
  evaluate and provide input into seal breach and exploration plans. Due to
  his mine rescue and recovery experiences he has been able to assist and
  help them address issues and develop conscientious plans that protect the
  teams during exploration and recovery operations
- worked the Command Center and assisted with the exploration and recovery of the Upper Big Branch Mine – South

#### Result #1

- worked aggressively during FY 10 to improve the safety culture at the mines under his jurisdiction
- conducted numerous meetings with both miners and mine management to address safety issues and how they affect the decisions made by mine management
- monitored manpower usage and reallocated resources to ensure 100% inspection completions
- monitored Inspection Division 1 enforcement and addressed compliance challenged mines through mine visits and on-site meetings with the mine operators and miners
- During FY 10 Inspection Division 1 inspectors issued 10,239 citations and orders. The S&S rate was 31% and elevated enforcement was used for 370 issuances.

#### Result #2

- worked aggressively during FY 10 to improve the safety culture at the mines under his jurisdiction
- conducted numerous meetings with both miners and mine management to address safety issues and how they affect the decisions made by mine management
- monitored manpower usage and reallocated resources to ensure 100% inspection completions

- monitored Inspection Division 1 enforcement and addressed compliance challenged mines through mine visits and on-site meetings with the mine operators and miners
- During FY 10 Inspection Division 1 inspectors issued 10,239 citations and orders. The S&S rate was
  - 31% and elevated enforcement was used for 370 issuances
- the manager worked closely with the specialist groups to improve the plan quality for the mines under our jurisdiction
- all headquarters initiatives were conducted to meet agency expectations and performed in a timely manner

#### Result#3

- the manager worked closely with the health group and District Manager to address and improve dustcontrol plans for the Inspection Division 1 mines.
- The most recent respirable dust GPRA report indicates that all four Division 1 offices met their GPRA goals for respirable dust
- the most recent noise exposure GPRA report indicates that all four Division 1 offices met their GPRA, goals for noise exposures

#### Result #4

 the manager supports and encourages participation in MSHA's safety and health program through proactive and reactive actions, utilizing monthly staff meetings, quarterly

safety meetings, one-on-one

contacts, accident analysis and dissemination of information to increase employee awareness of

accidents and accident prevention

 the manager makes quarterly visits to the field offices and makes on-site safety inspections of the

1000

the manager has made numerous field office and mine visits during which
he always observes
condition of the offices and use of PPE, and work practices of the
employees

	*
<ul> <li>the manager leads by example to promote the health and safety for the employees.</li> </ul>	
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## Performance Management Plan for Managers and Supervisors



1, Employee Name (last, first, middle)	noral information (C) 2. Organization	
Selfe, Lincoln L.	Mine Safety and Health Admi	
3, THM, Series, Grado Assistant district manager, GS-1822-14	4:27	prolesi Period (nandddywy) 7/6/2010 <u>= 10125/2011</u>
5. Supervisory Sistus 🔀 Code 2 – Supervisor or Menager	ents and Standards Certification?	
1, I carrify that this performance plan All critical results elements link contains accurate performance Hold the employee accountable	lo the Agency's operating plan. : (or maseurable end/or observable results.	
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2. Rating Official Signature Chart 11. Handson	99000000000	Oate (numres/yyy) 1//15/15/2
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Hardman, Robert G.	······································	00000000000000000000000000000000000000
4. Raing Official Tille District Manager		
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	Hardman, Robert G.	ecas) . )
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2. Emplikugh Gignelum y Date (mm/bid/)		1.10
1 Sucal of Alexander 104.19-2	<u> </u>	UAGEK
	o'Annmitseland Relingia (1932)	
1. Indicate performance appreisal and rating below.		Ze. I discussed this appraisal
Exemplary Exceed plandards for all elements		with employee.
- Highly Effective Exceed standards for 50% or more eleme	ris but het sit mest standards for sil other :	Herments 12 Yes I No
Effective Meet standards for all clements and may	exceed standards for less than 50% of elem	Sris 2b, Employee written
Minimally Satisfactory   Need to improve performence for one or a	nore elements	communis are attached.
Unisatisfectory Fall to meet standards on one or more circ	menis .	0 ves 9-76
3. Purpose of Approfest Contents Rading Continue of Record	7. Employee Signature	(Date (mm/tid/yyyy)
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5, Spling Official Name-(last, first, metidio)	8. Fylyswing Official Name (less, firs	
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6. Rating Official Title /	12' Reviewing Official Title	e 8
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1. For each element, when the appropriate rating. Demontratings: E = Exceed; M = Meet, M = Need to Improve; F = Foll

va		Sence Rethy						
Nanagerial Competency Elements	88	**	<b>88</b>	2				
Lasdership	X							
Resource Management	×							
Costificat Building and Communication	X							
Problem Solving and Initiative	X							
Equal Employment Copyrightly and Diversity		X	L					

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L'aranna Cassishes	E	84	188	*				
Rest 1	X							
Result 2	IX							
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Contemporar Statements

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1, Landorship		Except 5		* 🗆	Need to improve	O Fai	
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Performance Standard							
<ul> <li>Develope and matrixina long and shart-term strategic planning to facilitate.</li> </ul>	Ya achievemeni	of the Age	ungy'n mi	erion s	and to improve peri	ommence	
consistent with key organizational policies and priorities and economic, poli	lifasil, and posisii	ette ethuet	eding the	CONTRACT OF THE PARTY OF THE PA	zzzon.		

- Anticipates and meets the needs of clientatous immers to provide better service. Sets standards for customer needs and satisfaction, and meets them.
   Uses effective trustmess practices including betanced measures to consider customer, stateholder, and employee parapetries.
- Displays an attitude that accepts mistakes as part of the developmental process, as the organization works to achieve results that promote inservation, efficiency, and grapter effectiveness.
- Links individual performance requirements to key organizational goals, incorporates organizational performance results have decisions about includual
  parformance astings and recognition, Makes meaningful distinctions between tensis of performance in retirings. Recognition subordinate performance
- Promotes and adheres to the highest ellectal standards of public service.

#### Numative

Mr. Selfe has show an excellent leadership ability in establishing, monitoring, and accomplishing the goals consistent with National objectives. Link posses a quality of leadership masurpassed by his poors. The anomeous size and scope of mining in District 4 requires a leader in the enforcement division which is accepted by supervisors, inspectors and the mining industry. He has oversight of over 170 MMU inspections each quarter as well as mandated 103(f) inspections. Link has been instrumental in the selection and development of supervisors, inspectors and support staff and to establish a work force to meet the agency's mission. He has conducted numerous meetings with stakeholders, miners, legal staff and miners's representatives to provide guidance and leadership in the district. Link has worked closely with the district specialist, CLR, SI, health, roof control and ventilation departments to establish plans that provide the miners with a safe work place. He has been a leader in organizing and coordinating the Southern West Virginia Mine Rescue, Bench, First Aid and Pre-Shift Contest. Link has wast experience in mins rescue operations and provides this experience as a leader in the event of a mining disaster.

Page 2 of 13

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Resource Management	⊗ Exceed		☐ Need to Improve	□ Fall
Performance Standard  - Understands the organization's financial processes. Prepares, justifies, and admine dealed results. Mealthrs expenditures and uses cost-transit funding and late payments, prevent And-deficiency Act violations, and ensure adequate Actively recruits to although select qualified applicants with the competency robust recruitment strategies, and maximizing the use of technology. Applies a indensiting the use of technology. Applies and security of its innology systems.  - Prevents stall from working unsultation eventime hours by consistently applicationing an averagency of stall hours worked and organizational goals so designation impacts overtime eligibility and authorization.	ste managament contri iss needed by embracin a mark principles to daw Makas effective use of t vidno Fair Labor Standa	s. g the use of Hop, select, echnology l His Act (FLE	avalisida hiring flaciblit and manage a diverse t o achiava resulta. Ensua IA) and COI, nolicy reca	ies, developing workforte. es access lo woine overtims.
in rative fir. Selfe has an execulent working knowledge of mining and this provide in Selfe has an execulent working knowledge of mining and this provide in district's enforcement group. Prior to the separation of District 4 into the which of Conducting fince the establishment of the new District 4, Link has been instrumental intrict, to complete all mandated inspections. In his provided resourcest aforcement personnel for sectionis, complaints and 103(1) inspections. It caives adequate training and that they have gotten training in a diverse up of programs to monitor the district to gather the most current information sivilies. Although Link is understaffed, he has established an excellent espections to provide a safe work environment for each miner. He furthed appears	two districts, Link was a inspections, investig in providing the nect to conduct impact in Link works closely was to the conduct impact of skills and so in which he uses to the track record for province.	as the AD) pations and essay pera spections ith newly thedules. ith, evalua ding com;	A for enforcement Go I biring of new inspec- connel to fleid offices and provide an adequa- hired inspectors to to Link consistently rev- tte and coordinate insolute, thorough and or	mp 1. He store and staff, as well as the store that they iews databases pection moprehensive
		•		
Califien Building and Communication	∑ Euzed	Meet	☐ Need to Improve	□ F##
Performance Standard  - Promotes an open, communicative environment that inspires and encourage motivates individual staff memberatives as accomplish organizational goets  - Stresses innovation, creative, and sak-taking. Analyzes problems and devolutions to move programs forward.	u Managas and resolve	s condicts in	a positive and constru	áve mennec
ടായെ അ വാദ്യക ഉപ്പാര്യത്താന പെയുന്ന				
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arraine ter. Selfe has developed working relationships with other facets of MSHA perations) that facilitates meeting agency goals. Throughout the Fiscal' ine examiners to clarify expectations for their responsibilities and has ar	Year, Link bas been r idress as many as 50	equested to managers	end examiners in one	gement and sucb
tarnative  (r. Selfe has developed working relationships with other facets of MSHA peralions) that facilitates meeting agency goals. Throughout the Fiscal 'nine examiners to clarify expectations for their responsibilities and has an seeting. He has conducted regular meetings with employees to gather the rawing on both their education and experience. Link has worked very clavely the in place for the field offices. He has worked closely with the ranch Mine-South investigation. Link works very closely with other dis	Year, Link has been r idress as many as 50 reir imput to address p osely with the other / other facets and acci-	equested to managers roblems o LDMs and lent invest	o address mine mane; and examiners in one r implementing new ; supervisors to ensur- igation teams during	gement and souch procedures, c adoquate due Upper Big

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Face CS, 1-855 Perdood Gostandos 3241 Papalpos adalems are hal lacable

Problem Solving and initiative	S Except	xxxx0000000
Performance Standard  • Electroly represents the Department and the or stakeholders in working on common tasks or gro	queltation internally and/or externally. Actively anguges the cooperation of internal and external approjects; shares work and decision-making with others.	
ffices. Currently there are over 170 MMUs in I necountered by stakeholders as well as the juspe roblems and issues which arise on a daily basis. creomed. Link has worked with his inspection nd provide a safe working covironment. Link h he miners and are concise and easy for the insp perators to avaluate and provide input late sast	field office supervisors to address problems and issues that have developed in the field District 4's inspection area. Link has shown a great shillity to provide solutions to problem force. He has a "take charge" demonstrate take a proactive stance in potential. The constant change of personnel within the district has created a scrious understaffing group to ensure that mines are inspected as required by the Mine Act, regulation and po as worked classely with the technical services groups to provide plans that provide safet extens and miners to understand. He has been sought by sechnical services groups extent and experience to understand. He has been sought by sechnical services groups extens and experience and recovery hern to address issues and develop conscientious plans that protect the trans shring	saus g of licy y to
Equal Employment Opportunity and Diversity  Performance Standard  • Promptes and maintains a diverse and inclusive individuals from diverse tradegrounds, perspective	workforce. Actively recruits and bines from diverge applicant pools. Froter collaboration with the and applicance. Frotess that convolution for crossin and applicant for all analysis. Provi	<b>8</b>
<ul> <li>Rulids, trains, and mensoes workforts based on</li> </ul>	was, and experience. Ensures that opportunities for growth solet equilably for all employees. Provi is for all employees. organizational goals, budget considerations, and stating needs. Ensures confinsing application of and Opportunity (EEO) laws, regulations, and policies. Premptly addresses allegations of prohibited was that EEO principles are advaned to timughout the arganization.	2
Builds, trains, and manages workforts based on and compliance with, applicable Equal Employm discrimination, harasament, and relationsh. End	acconficational coals, budget considerations, and station needs. Ensures confinsion amilication at	2
Builds, trains, and manages workforts based on and compliants with, applicable Equal Employm discrimination, harasament, and relations. Ens.	acconficational coals, budget considerations, and station needs. Ensures confinsion amilication at	2
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Ruilds, trains, and manages workforts based on and complants with, applicable Equal Enginem discrimination, harasament, and relations. Ens analive	acconficational coals, budget considerations, and station needs. Ensures confinsion amilication at	2
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Builds, trains, and manages workforts based on and compliance with, applicable Equal Employm discrimination, harasament, and relativism. Environments  Nametre	acconficational coals, budget considerations, and station needs. Ensures confinsion amilication at	**************************************
Builds, trains, and manages warkforts based on and compliance with, applicable Equal Employm discrimination, harasament, and relationse. End  Nametres	organizational goals, budget considerations, and stating needs. Ensures continuing equilication at one Opportunity (EEO) have, regulations, and policies. Promptly addresses altegations of prohibited tree that EEO principles are advanted to immeghant the organization.	**************************************

#### The second secon

Provides as many critical results specific elements as one recessary to reflect the manager's supervisor's specific responsibilities in the implementation of their agency's operating plan. All elements and standards must be instead to the operating plan and should describe the specific major results to be achieved desing the particular of performance covered by the performance plan. Each performance standard must be written at the Meet level and include massures of performance such as guesty, quantity, femioness, and cost effectiveness. Examinates should be clear and not include detailed missiones for descriptions of the process and mathods used to achieve the results.

The rating efficial must appraise the managers' supervisors' performance relative to the critical results-elements performed. In assigning a rating to each critical results element, please rate the manager/supervisor of one of the following four levels and include a written nametwe as appropriate:

- Exceeds described level of performance (namelive required)
   Nects described level of performance (namelive not required)
   Need to improve in arder to meet the level of performance (namelive not required)
   Falls to meet described level of performance (namelive required)

Fifty percent (SOK) of the summary rating indicated in Section F1 is based on the manager's supervisor's performance relative to the critical results elements tigentified in this section. The remaining 50% is attributed to the manager's supervisor's demonstrated performance of the managerial competencies identified identales in In Section I.

Result #1

 Exceed □ Meet In support of the Secretary's Vision of Good John for Everyone through Outcome Goal 2 - Securing safe and healthy workplaces, wages and overtime, particularly in high-risk industries and Outcome Goal 10 - Voice in the Workplace:

Demonstrates efforts toward the reduction of the mining fatality layer Incidence Rate in the District's Coal mines in accordance with the performance goals and indicators.

Demonstrates efforts toward the reduction of the ALL Injury Incidence Rate in the District's Coal mines in accordance with the performance goals and indicators.

Monitor mine safety and health program area to ensure that citations/orders are timely terminated, Hazard Condition Complaints are timely processed, and mine plan approvals are evaluated in a tancly manner.

Performance Standard

Performance is satisfactory when:

A 5% reduction in FY10 from the average number of fatalities for FY2005 - FY2009.

The status of citations issued is monitored for timeliness of abatement. Performance will be measured by the degree to which the District is able to terminate citations within the period established by policy for abstement, Hazard Condition Complaints are timely processed, and mine plan approvals are evaluated in a timely manner. Progress will be measured by using a variety of reports.

Mr. Selfe has worked aggressively during FY11 to Improve the safety culture at the mines under his jurisdiction. He conducted numerous mucings with both miners and mine menagement to address safety issues and how they affect the decisions made by mine menagement. Link as monitored manpower usage and reallocated resources to ensure 100% inspection completions. He has monitored inspection Division I enforcement and addressed compilence challenged mines through mine visits and on-site meetings with the mine operators and minors. During FYII, Impection Division I inspectors have issued more than 12,203 Changles will orders, the SatS rate was 40% and cirvated enforcement was used for 418 issuances.

Page 5 of 13

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Tanus #2 in support of the Secretary's Vision of Good John avertime, particularly in high-risk industries and s		d Need Need to Improve Pad Recuring safe and healthy workplaces, wage	s m
Demonstrates efforts toward the reduction of the I other reports to direct resources to monitor and in			end
incumbent monitors MSHA Coal Kay Indicator a Coal Districts' unique and distinct performance le determining acceptable average performance base	vels. Incumbent understands the effects &	aside the acceptable norms and averages for f the District's geography and work load wh	r ibs ico
Parlamence Standard Performance is satisfactory when:			spagnogens
The incumbent demonstrates the use of the MSTL is importanties as understanding of the root causes their occurrence and remedy where applicable as the completion rate of all BOI inspections is 100% abereations beyond the control of the incumbent's inspections at 100% will be for all coal mines distinguishers.	for variances in monthly reporting, easigm d shares best practices with relevant MSH/ 6. Exception to this only may be granted it management ability that prevented 100%	s responsibility for the variances, accounts ( A employees. The incumbent must ensure the fitter of the incumbent can demonstrate supporting	ha I
	•		
Variative  Vir. Selfe has worked aggressively during FY11 to nonerous meetings with both miners and mine ra nanagement. Link has monitored manpower usa respection Division I enforcement and addressed uperators and miners. During FY11, inspection D sevated enforcement was used for 418 issuances nines under our jurisdiction, often attending meet II hashpunters in manyes and man mey were con-	anagement to address safety issues and hov ge and realiocated resources to ensure 1007 compliance challenged mines through min Nylsion 1 inspectors issued 12,203 climions . Link has worked closely with the specialists. tings to provide support for the specialists.	w they affect the decisions made by mine % inspection completions. He has toonitore to visits and on-site meetings with the mine t and orders. The S&S rate was 40% and ist groups to improve the plan quality for the He has been instrumental in the completion	:
	Paga 6 of 13	Pages II. Resistant Registration Providence and States and red	CS, 6-30 Nov 301 M reside

	,
overtime, particularly in high-risk industries and goal 10 – Voice in t	,
fake appropriate action to ensure the District achieves a 2% reductions allowable limits.	in from the previous year for dust and noise sample results exceeding
•	
enformance Standard erformance is satisfactory when:	
etermine if all feasible noise controls have been applied; revise and	ally review noise controls in situations of continuing non-compliance to improve coal mine dust-related inspections based on lessons learned in s; initiate systematic reviews of the quality of dust controls in approved
	,
id noise issues at the mine. He has worked with the field offices to gulations are monitored and followed at each mine, and that health	ager and health group to provide oversight and compliance with dust easure all dust sampling is conducted timely and that the plans and citations and orders are properly evaluated. Link works closely with
ealth parameters for each mine and discusses health compliance duri	kpless-for-miners-ss wall as his work group. He always reviews the ing his mine visits. Working as a team, Link has been instrumental in und recommendations to stakeholders and the members of the district

inspection and specialist groups to ensure a safe and healthy workplace for the miners.

Paga 7 of 13

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tenuit #4 In support of the Secretary's vision of Good John for Everyone through Outour	
nt support of the Secremy's vision of Coop Joes for Everyone aways Cultura ad overtime, particularly in high-risk todustries and Goal 18 — Voice in the Workp	jum 10 cent 7 — cecnini eno mo impul, isarbano 4 artici
tite partitetitish baterioriteta in terillera rom remonenco uma poum en sona an maa saanka	500¢-004
Use all evailable tools in an effort to reduce and/or climinate the inconsistent enfor	rement of MSHA regulations, the Mine Act and the
ANER ACL	
Jse all available tools in an effort to reduce and/or eliminate the deficiencies identi	ified in Accountability, District and Peer reviews.
ncumbent will review fluidings noted in such reviews and timely implement correc	tive actions.
warman Sandari	
oriomence is ned when:	
MSHA handbook, policy and procedures have been followed;	
2) Required Mine visits are completed;	
<ol> <li>Demonstrated efforts have been made to reduce or eliminate repeat and it finding</li> <li>Pield Activity and Second Level reviews are accurately completed and all defice</li> </ol>	
7/ ) There are dear demonstrated efforts made to help assure considency in citation	
6) Hazard Condition Complaints are timely processed:	an manage of apprixem with
7) Conferences and contested cases are conducted in accordance with MSHA hand	
banges by a District CLR during conferences or contested cases have been made t	
ettlement proposals have been reviewed and approved by MSHA management pri	or to settlement and proper documentation maintained;
	38
<ul><li>(8) Mine plan opprovals have been adequately evaluated and appropriate approval/</li></ul>	disapproval conducted.
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Mr. Saids has provided support and encourages participation in MSHA's safety and health program through proactive and reactive actions, utilizing monthly staff meetings, quarterly safety meetings, one-on-one contacts, accident analysis and dissemination of information to increase employee awareness of accidents and accident prevention. Link manager makes quarterly visits to the field offices and makes onsite safety inspections of the offices. Link has made numerous field office and mine visits during which he saways observes condition of the offices and two of PSF, and work practices of the employees. He has surpersed the necessary mine visites ( ) to control that mines are providing compliance and a safe workplace for miners. Link leads by crampile to promote the health and safety for the employees and set a high standard for each person. He provides timely, accurate and detailed account level reviews and field activity reviews for his subordinates. He has a high level of consistency in the enforcement of regulation and policy and reviews databases and appeadsheet to course that citations and orders are timely abated. He provides guidance to field offices to address issues thring audits and acts goels and plans is place to eliminate reoccurring deficiencies.

Page 8 of 13

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General Schedule Evaluation Guidance for Managerial Competency Elemens (Matrix)

# Managerial Competency Element: Leadership

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N/R	Evaluation Element .	What This Includes	Exceed Meet	NI	F
	Result 1: Develops and maintains long and short-term strategic planning to facilitate the achievement of the Agency's mission and to improve performance consistent with key organizational policies and priorities and economic, political, and social trends affecting the organization.	Strategic Planning Support for Leadership Organizational Performance	Demonstrates extensive     awareness and understanding     of the Department's mission     and strategic vision.     Actively works to develop     and/or implement forward-     looking strategic plans that     moximize the Agency's ability     to achieve its objectives.     Employs innovative uses of     Agency resources and     technologies to meet     performance indicators under     its strategic plan.     Can effectively     communicate and manage     the implements ion of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates as     understanding of the     Agency's performance     indicators.	O	
О	Result 2: Anticipates and meets the needs of clients/customers to provide better service.  Sets standards for customer needs and satisfaction, and meets them.  Uses effective business practices including balanced measures to consider customer, stakeholder, and employee perspectives.	Customer Service	Provides the highest quality     service to Agency customers,     stakeholders, and employees     by anticipating, addressing, and     proactively managing current     and future needs.	П	
О	Result 3: Displays an attitude that accepts mistakes as part of the developmental process, as the organization works to achieve results that promote innovation, efficiency, and greater effectiveness.	innovation & flisk	Engenders a culture that     encourages employees to take     calculated risks to improve     performance.      Calculated risks to improve     performance.     Calculated risks to improve     performance.     Calculated risks to improve     performance.     Calculated risks to improve     performance.     Calculated risks to improve     process.     Calculated risks to improve     process.	О	

N/R = Not Rated

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General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

	General Schedule Evalu	<u>iation Guidance I</u>	<u>or Manageriai Compei</u>	<u>ency Elements (iviai</u>	mx)	W
N/R	Evaluation Element	What This Includes	Exceed	Meer	NI	F
	Result 4: Links individual performance requirements to key organizational goals.  Incorporates organizational performance results into decisions about individual performance ratings and recognition.  Makes meaningful distinctions between levels of performance in ratings. Recognizes subordinate performance and teamwork.	Leadership Support Reward & Recognition Teamwork Individual Performance	Shares recognition and routinely rewards colleagues' accomplishments. Repeatedly demonstrates an ability to tink individual with Departmental and agency performance requirements. Effectively uses agency and interagency teams to achieve agency outcomes.	Provides opportunities for individual and team development.     Appropriately uses available performance, reward and recognition systems.	O	
	Result 5: Promotes and edheres to the highest ethical standards of public service.	Einles	Acts as a model of integrity     personally and establishes an     organizational culture that sets     expectations of the highest     ethical standards of public     service among subordinate     staff.	Adheres personally to the highest ethical standards of public service and encourages ethical behavior among subordinate stalf.	О	
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		of and place of the control of the c		***************************************		۰

N/R = Not Rated

# General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

# Managerial Competency Element: Resource Management

N/IR	Evaluation Clement	What This Includes		Exceed		Meet		NI	F
	Result 1: Understands the organization's linancial processes.  Prepares, justifies, and administers the program budget.  Oversees procurement and contracting to achieve desired results.  Monitors expenditures and uses costbenefit thinking to set priorities.  Develops and implements strategies to reduce erroneous and late payments, prevent Anti-deficiency Act violations, and ensure adequate management controls.	Financial Management .	*	Displays an exceptional level of awareness and concern for agency expenditures and financial priorities. Through teamwork and institutional knowledge, leverages agency resources to achieve maximum results. Engages in the identification of cost saving strategies and efficiencies.	*	Manages agency through the utili administration of appropriate bud processes and requirements. Makes decisions the agency's finity priorities and expenditures.	ation and get based on	·	
П	Result 2: Actively recruits to attract and select qualified applicants with the competencies needed by embracing the use of available hising flexibilities, developing robust recruitment strategies, and maximizing the use of technology. Applies merit principles to develop, select, and manage a diverse workforce.	Hiring/Diversity	*	Manages this with an acute understanding of available hiring flexibilities and utilizes them in order to attract and select qualified applicants.  Sets and meets hiring goals to maintain strength and reduce lapsed FTE.	•	Applies merit pro develop, select, p manage a diversit workforce.	nd	О	
	Result 3: Understands the impact of technological developments on the organization.  Makes effective use of technology to achieve results.  Ensures access to and security of technology systems.	Technology & Modernization	*	Identifies and creatively utilizes current and new technologies to maximize the agency's ability to achieve its priorities. Encourages the use of technology to share information and engage stakeholders.	*	Appropriately ut upgrades technolomest agency go I	ogles to	О	

N/R = Not Rate:

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General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

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N/R	Evaluation Element	What This Includes	Exceed	. Meet	NI	F
	Result 4: Prevents stall from working	Fair Labor Standards	<ul> <li>In addition, develops and</li> </ul>	<ul> <li>Makes the Fair Labor .</li> </ul>		
	unauthorized overtime hours by consistently	Act	implements strategies that	Standards Act (FLSA) and		
	applying Fair Labor Standards Act (FLSA) and	***************************************	reliably document compliance	DOL policy available to		
***************************************	DOL policy regarding overtime, maintaining		with FLSA, supplemented by an	employees and		ĺ
	an awareness of staff hours worked and	,	awareness of staff hours	management and conveys		
	organizational goals accomplished, and		worked to corroborate the	expectations for		9000
	ensuring staff are knowledgeable of how FLSA		effectiveness of these controls.	compliance.		, ,
	designation impacts overtime eligibility and					
	authorization.					
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# Managerial Competency Element: Coalition Building and Communication

N/R	Evaluation Rioment	What This Includes	Exceed	Meet	NI	F
	Result 1: Promotes an open, communicative environment that inspires and encourages service motivation, spirit, pride, and trust.  Facilitates cooperation and motivates individual staff members/teams to accomplish organizational goals.  Manages and resolves conflicts in a positive and constructive manner.	Communication & Morale	<ul> <li>Sets an example of accessibility and transparency.</li> <li>Fosters and reinforces a collaborative and engaged environment that inspires and encourages service, motivation, spirit, pride and trust.</li> </ul>	Manages an ope communicative environment the the agency's midely.	i serves D	
	Result 2: Effectively represents the Department and the organization internally and/or externally.  Actively engages the cooperation of internal and external stakeholders in working on common tasks or group projects; shares work and decisionmaking with others.	internal & External Relations	Serves as an effective, reliable, and persuasive representative of the agency and Department of Labor on virtually all matters internal and external to the agency.	Serves as an efference of the control of the c	his/her	

N/R = Not Reted

# General Schedule Evaluation Guidance for Managerial Competency Elements (Matrix)

# Managerial Competency Element: Problem Solving and Initiative

N/R	Evaluation Element	What This Includes		Exceed		Meet	1	NI	F
		Innovation & Risk	, W	Clearly demonstrates initiative	8	An effective problem	n	r1	
	risk-taking.  Analyzes problems and develops			and ability to explore and create alternative solutions to	*	solver. Recognizes innovatio	on.	الا	السا
***************************************	alternative solutions, emphasizing new	ı		problems.					
	approaches.		*	Encourages, promotes, and supports innovative strategies		ale propriesor	Annual Park		
	<ul> <li>Takes calculated risks to move programs forward.</li> </ul>			among subordinates.		•	and the second		
		40.		IXI .					

# Managerial Competency Element: Equal Employment Opportunity and Diversity

N/R	Evaluation Clement	What This Includes		Exceed	***************************************	Meet		NI	F
	Result 1: Promotes and maintains a diverse	Diversity	*	Promotes and manages an	•	Takes diversity is	to '		
	and inclusive workforce.			Indusive workforce by	į	account while e	~ ;		
	<ul> <li>Actively recruits and hires from diverse</li> </ul>			Championing diversity as a	3	and nondiscrimit			
	applicant pools.			value in all aspects of the	1	recruitment, hirķ	നളം		
	<ul> <li>Fosters collaboration with individuals</li> </ul>			agency.	3	promotion and			
	from diverse backgrounds, perspectives,		*	Practices effective recruitment		recognition.			
	and experience.			efforts to increase the pool of	)	QQ			
	<ul> <li>Ensures that opportunities for growth</li> </ul>			quality candidates from		William A			
	exist equitably for all employees.			underrepresented groups.		- 45.00%			-
	<ul> <li>Provides fair and equitable recognition of</li> </ul>		*	Promotes diversity at all grade					
	accomplishments for all employees.			levels.		. ]			

N/R = Not Rate:

	General Schedule Evaluat	ion Guidance	for Managerial Compet	ency Elements	(Matrix)	
N/R	Evaluation Element	What This Includes	Exceed	Meet	NI	F
	Sesuit 2: Builds, trains, and manages workforce based on organizational goals, budget considerations, and staffing needs.  Ensures continuing application of, and compliance with, applicable Equal Employment Opportunity (EEO) laws, regulations, and policies.  Promptly addresses allegations of prohibited discrimination, harassment, and retailation. Ensures that EEO principles are adhered to throughout the organization.	Talent Management Diversity	Displays the highest commitment to the identification and/or recruitment, development, promotion and retention of diverse and talented individuals to build leadership capacity throughout the agency. Is an active mentor and gives clear and actionable feedback to subordinates. Upholds EEO principles. Actively encourages and participates in succession planning.	Manages the workformeet the needs of the agency by taking into account EEO principle succession planning, diversity, recruitmen training.	he	
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## NOTIFICATION OF PERSONNEL ACTION

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# FY<sup>-</sup>111 Performance Manageme Agreement for Executives

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2a. This Agreement links all critics	il elements to specific Agency Op	serational Plan g	cals 🔯	res □ No		Z		***************************************	30000000000000000000000000000000000000
20 This Agreement holds the exec	cytive accountable for measurab	ie and observati	e results	X Yes   N	0		**********	**********	.00000000000000000000000000000000000000
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#### F. Managerial Compotency Elements

Performance Standards for Leadership

Result f: Develops and maintains long and short-term strategic planning to facilitate the activevement of the Agency's mission and to improve performance Consistent with key organizational policies and priorities and economic, political, and social trends affecting the organization.

Result 2: Strasses innovation, creativity, and risk-taking. Analyzes problems and develops atternative solutions, emphasizing new approaches. Takes

Calculated risks to move programs forward.

Result 3: Effectively represents the Department and the organization internally and/or externally. Actively engages the cooperation of Internal and external stateholders in working on common tasks or group projects; shares werk and decision-making with others.

Result 4: Promotes and maintains a diverse and inclusive workforce. Actively recruits and hires from ofverse applicant pools. Fosters callaboration with inclividuals from diverse backgrounds, perspectives, and experience. Ensures that opportunities for growth exist equilibrily for all employees. Provides fair and

equitable recognition of accomplishments for all employees. Result 5: Anticipates and meets the needs of clients/customers to provide better service. Sets standards for customer needs and setisfaction, and meets them. Uses effective business practices including balanced measures that consider customer, state/holder, and employee perspectives.

Result 6: Displays an elitude that accepts mistakes as part of the developmental process, as the organization works to achieve results that promote introvation, efficiency, and greater effectiveness.

Rosult 7: Promotes integrity and adheres to the highest ethical standards of public service.

#### Performance Standards for Resource Management

Result 1: Understands the organization's francial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities. Develops and implements strategies to reduce encreases and late payments, provent Anti-descency Act violations, and ensure adequate management controls.

Result 2: Bulds, trains, and memory workforce based on organizational goals, business considerations, and staffing needs. Ensures continuing application of, and compliance with, applicable Equal Employment Opportunity (EEO) laws, regulations, and policies. Promptly addresses allegations of prohibited discrimination, harassment, and retailation. Ensures that EEO principles are adhered to throughout the organization.

Result 3: Understands the impact of technological developments on the organization. Makes effective use of technology to achieve results. Ensures soccess to and security of technology systems.

Result 4: Links individual performance requirements to key organizational gasis, incorporates organizational performance results into decisions about individual performance ratings and recognition. Makes meaningful distinctions between levels of performance in ratings and recognition, Makes meaningful distinctions between levels of performance in ratings and recognition.

Performance.

Result 5: Promotes an open, communicative environment that traptes and encourages service motivation, spirit, pride, and trust. Facilitates cooperation and motivate individual staff members/learns to accomplish organizational goals. Manages and resorbes conflicts in a positive and constructive manner.

Result 6: Prevents staff from working unauthorized overtime hours by consistently applying Fair Labor Standards Act (FLSA) and DOL policy regarding covertime, maintaining an awareness of staff hours worked and organizational goals accomplished, and ensuring staff are knowledgeable of how FLSA.

datignation impacts overtime eligibility and authorization.
Result 7: Actively recruits to attract and select qualified applicants with the competencies needed by embracing the use of available hims Sexubilities, developing sobust recruitment strategies, and maximizing the use of technology. Applies medit principles to develop, assect, and manage a diverse workforce

#### G. Communicational Pointermanica Elements

Provide Organizational Performance Elements that demonstrate direct linkage with your agency's Operational Plan. Tris section should include the major results to be achieved during the period covered by the performance agreement.

SAMPLE ORGANIZATIONAL PERFORMANCE ELEMENT:

(Culcome) Publish updated policy 8 XXXX on DXL representatives contact with mine enabloyees, (Measure) report updates all pertinent portions of existing policy (Timetrams) by mid-year 04/30/11. Measure or source of data to determine "Meets" is the number of pertinent portions of xyz policy.

#### Parloruque (Immigel Genedi #1

Specific Outcome (the result):

Reduce familities, injuries and illness in the nation's mines by increasing inspection and enforcement effectiveness.

- 2. Results Target (i.e. how much, how many) vnitten at the "Meets" level, the result
- · Utilize Key Indicators to monitor and improve enforcement performance and quality. Ensure program accountability for appropriate actions taken for results that fall outside the distinct, predetermined performance levels.
- \* Ensure Coal Mine Safety and Health complete 100 percent of E01 inspections.
- · Monitor use of focused inspections (Pattern of Violations, Impact and Special Emphasis Health inspections) to target mines with specific conditions, problems or compliance issues that merit increased agency attention and enforcement and to ensure appropriate enforcement actions are implemented to reduce over-exposures to dust and noise.
- · Initiate systematic reviews of the quality of dust controls in approved mine ventilation and dust control plans to foster continuous improvement.

3. Measure of Outcome (i.e. 8 of reports, poscy/grogram resistives, etc.) expressed as a "source of measurement data".
Utilize key indicator reports as well as audit results to determine positive change and consistency of enforcement. Increased inspection and suforcement effectiveness is indicated by long-term improvement in the compliance behavior of the antion's mines and by a downward trend in fatalities, injuries and illness in the nation's mines.

4. Timeframa (i.e. by when, once, quanterly, bi annually)

Through September 30, 2011

5. Links to Operational Plans

See Pages 4 - 16

d. Naradye (ope page (m.t)

Su Attached

Performance Eliminat Frank \$2

1. Specific Outcome (the result):
Reduce accidents, injuries and death from mining through more consistent enforcement of the Mine Act, MINER Act and Regulations and timely implementation of corrective actions

Page 2 of 4

2. He suits length (i.e. how much, how many) withen at the "Moets" level, the result:  * Ensure time by abotement of citations/orders.
Ensure timely investigation of Hazardous Condition Complaints, 108 and 110.
<ul> <li>Ensure timely evaluation of Mine and Ventilation plan approvals.</li> </ul>
<ul> <li>Ensure conferences and contested cases are hundled appropriately.</li> </ul>
• Monitor program audits, evaluations and reviews to cusure program quality and effectiveness.
3. Measure of Outcome (Lo. # of reports, policy/program initiatives, etc.) expressed as a "source of measurement date":  • Utilize Part 50 database and audit and evaluation results to determine positive trends in injury and fotality rates.
<ul> <li>Utilize Key Indicators to determine increased consistency in inspection and enforcement effectiveness (e.g. reduction in the number of</li> </ul>
Vacaled citations improved consistency).
* Hazardous Condition Complaints database tracks the timely investigation and resolution of hazardous conditions.
4. Timeframe (i.e. by when, once, quarterly, bl-smrusky)
Through September 30, 2011
5. Links to Operational Plan.
See Pages 4 - 16
6. Narrative (one page limit)  Sel AH4 (hed
Performance Stopperd Resemb \$3
t. Specific Culcume (the result):  Maintain a safe and healthful environment by encouraging miner's voice in the workplace, protecting miners from discrimination and
supporting open government.  2. Results Targer (i.e. how much, low many) written at the "Meets" level, the result:
2. Remarks (see it it.), now mark, now many women at the "weed" level, our result.  Ensure it westigations conducted under Sections 103(g), 103(c) are aggressively developed and completed consistent with the Agency's statutory and policy timeframes and in conformance with national policy and procedures.
<ul> <li>Ensure openness, transparency and timely disclosure when responding to Freedom of Information Act (FOIA) requests.</li> </ul>
• Oversee development of strategies that accourage and improve:
o Miner's Voice in the Workplace
o Information dissemination to stakeholders and general public
3. Measure of Outcome (Le # of reports, policy/program initiatives, stc.) expressed as a "source of measurement data":
• The Hazardous Conditions Compliant database is used to monitor and track the timely investigation and resolution of 103(g).
MSHA headquarters and district offices use an access database to monitor and track the timely investigation and resolution of
discrimination complaints and temporary reinstatement requests.
The Secretary's Information Management System (SIMS) is used to track the timeliness of FOIA requests.  4. Timetrams (i.e. by when, once, quarterly, bi-ennusity)
Through September 30, 2011
5. Links to Operational Plan:
See Pages 13 - 16
6. Narrative (one page toris) . See AH Grand
Porformancio (Discipita Result #4
1. Specific Outcome (the result):
2. Results Targel (i.e. how much, how many) written at the "Meets" level, the result:
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4. Traditions (i.e. by when, once, quarterly, bt-armusty)
5. Links to Operational Plan:
E. Narrative (one paga limit)
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3. Measure of Outcome (i.e. # of reports, policy/program initialives, etc.) expressed as a "source of measurement data":
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TAB 3 Kevin G. Strothin ATTACHMENT 1: FY2011 WORKSHEET MSAW

# Senior Executive Evaluation Guidance for Managerial Competency Elements

# Managerial Competency Element: Leadership

N/R	Evaluation Element	What This Includes	Exceed Meet	NI	F
	Result 1: Develops and maintains long and short-term strategic planning to facilitate the achievement of the Agency's mission and to improve performance consistent with key organizational policies and priorities and economic, political, and social trends affecting the organization.	Stretegic Planning Support for Leadership Organizational Performance	Demonstrates extensive     awareness and understanding     of the Department's mission     and strategic vision.     Actively works to develop     and/or implement forward- looking strategic plans that     maximize the Agency's ability     to achieve its objectives.     Employs innovative uses of     Agency resources and     technologies to meet     performance indicators under     its strategic plan.      Can effectively     communicate and manage     the implementation of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators.      Can effectively     communicate and manage     the implementation of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators.      Can effectively     communicate and manage     the implementation of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators.      Can effectively     communicate and manage     the implementation of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators.      Can effectively     communicate and manage     the implementation of     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators.      Can effectively     communicate and manage     results-oriented strategic     plans to achieve the     Agency's goals.     Demonstrates an     understanding of the     Agency's performance     indicators		O
	Result 2: Stresses innovation, creativity, and risk-taking.  Analyzes problems and develops alternative solutions, emphasizing new approaches.  Takes calculated risks to move programs forward.	Innovation & Risk	Clearly demonstrates initiative and ability to explore and create alternative solutions to problems.  Encourages, promotes, and supports innovative strategies among subordinates.  An effective problem solver.  Recognizes innovation.	O :	
	Result 3: Effectively represents the Department and the organization internally and/or externally.  Actively engages the cooperation of internal and external stakeholders in working on common tasks or group projects; shares work and decision-making with others.	internal & External Relations	Serves as an effective, reliable, and persuasive representative of the agency and Department of Labor on virtually all matters internal and external to the agency.   Serves as an effective representative of his/het immediate agency/office immedi	П	

N/R = Not Rated

# TAB 3 ATTACHMENT 1: FY2011 WORKSHEET

Senior Executive Evaluation Guidance for Managerial Competency Elements

N/R	Evaluation Element	What This Includes	Exceed	Meet	NI	F
D	Result 4: Promotes and maintains a diverse and inclusive workforce.  Actively recruits and hires from diverse applicant pools.  Fosters collaboration with individuals from diverse backgrounds, perspectives, and experience.  Ensures that opportunities for growth exist equitably for all employees.  Provides fair and equitable recognition of accomplishments for all employees.	Diversity	Promotes and manages an inclusive workforce by championing diversity as a value in all aspects of the agency. Practices effective recruitment efforts to increase the pool of quality candidates from underrepresented groups. Promotes diversity at all grade levels.	Takes diversity into account while ensuring fair and nondiscriminatory recruitment, hiring, promotion and recognition.	О	
О	Result 5: Anticipates and meets the needs of clients/customers to provide better service.  Sets standards for customer needs and satisfaction, and meets them.  Uses effective business practices including balanced measures that consider customer, stakeholder, and employee perspectives.	Customer Service	Provides the highest quality service to Agency customers.     stakeholders, and employees by anticipating, addressing, and proactively managing current and future needs.	Consistently anticipates and meets customers' needs and satisfies standards for effective customer service.	О	O
О	Result 6: Displays an attitude that accepts mistakes as part of the developmental process, as the organization works to achieve results that promote innovation, efficiency, and greater effectiveness.	tnaovation & Risk	Engenders a culture that     encourages employees to take     calculated risks to improve     performance.	Accepts employees' reasonable mistakes as part of the development process.		D

N/R = Not Rated

# TAB 3 ATTACHMENT 1: FY2011 WORKSHEET

Senior Executive Evaluation Guidance for Managerial Competency Elements

N/R	Evaluation Element	What This Includes		Exceed		Meet	NI	F
	Result 7: Promotes integrity and adheres to the highest ethical standards of public service.	Ethics	*	Acts as a model of integrity personally and establishes an organizational culture that sets expectations of the highest ethical standards of public service among subordinate \$127.	*	Adheres personally to the highest ethical standards of public service and encourages ethical behavior among subordinate stelf.	П	<b>D</b>
	Score for Leadership			Exceed		Meet	NI	₹,
						5		

N/R ≈ Not Rated

TAB 3
ATTACHMENT 1: FY2011 WORKSHEET

ve Evaluation Guidance for Managerial Com-

# Senior Executive Evaluation Guidance for Managerial Competency Elements Managerial Competency Element: Resource Management

N/R	Evaluation Element	What This Includes	Exceed	Meet I	NI	F
	Result 1: Understands the organization's financial processes.  Prepares, justifies, and administers the program budget.  Oversees procurement and contracting to achieve desired results.  Monitors expenditures and uses costbenefit thinking to set priorities.  Develops and implements strategies to reduce erroneous and late payments, prevent Anti-deficiency Act violations, and ensure adequate management controls.	Financial Management	Displays an exceptional level of awareness and concern for agency expenditures and financial priorities.     Through teamwork and institutional knowledge, leverages agency resources to achieve maximum results.     Engages in the identification of cost saving strategies and efficiencies.	Manages agency resources through the utilization and administration of appropriate budget processes and requirements. Makes decisions based on the agency's financial priorities and expenditures.		П
	Result 2: Builds, trains, and manages workforce based on organizational goals, budget considerations, and staffing needs. • Ensures continuing application of, and compliance with, applicable Equal Employment Opportunity (EEO) laws, regulations, and policles. • Promptly addresses allegations of prohibited discrimination, harassment, and retaliation. Ensures that EEO principles are adhered to throughout the organization.	Talent Management Diversity	Displays the highest commitment to the identification and/or recruitment, development, promotion and retention of diverse and talented individuals to build leadership capacity throughout the agency.  Is an active mentor and gives clear and actionable feedback to subordinates.  Upholds EEO principles.  Actively encourages and participates in succession planning.	Manages the workforce to meet the needs of the agency by taking into account EEO principles, succession planning, diversity, recruitment, and training.		

N/R = Not Bated

# TAB 3 ATTACHMENT 1: FY2011 WORKSHEET Senior Executive Evaluation Guidance for Managerial Competency Elements

N/R	Evaluation Element	What This Includes	Erceci	Meet	NI	
O	Result 3: Understands the Impact of technological developments on the organization.  Makes effective use of technology to achieve results.  Ensures access to and security of technology systems.	Technology & Modernization -	<ul> <li>Identifies and creatively utilizes current and new technologies to maximize the agency's ability to achieve its priorities.</li> <li>Encourages the use of technology to share information and engage at technology.</li> </ul>	Appropriately utilizes and upgrades technologies to meet agency goals.		
П	Result 4: Links individual performance requirements to key organizational goals.  Incorporates organizational performance results into decisions about individual performance ratings and recognition.  Makes meaningful distinctions between levels of performance in ratings and recognizing subordinate performance.	Leadership Support Reward & Recognition Teamwork Individual Performance	Shares recognition and routinely rewards colleagues' accomplishments. Repeatedly demonstrates an ability to link individual with Departmental and agency performance requirements. Effectively uses agency and interagency teams to achieve agency outcomes.	Provides opportunities for individual and team development. Appropriately uses available performance; reward and recognition systems.	П	
	Result 5: Promotes an open, communicative environment that inspires and encourages service motivation, spirit, pride, and trust.  Facilitates cooperation and motivates individual staff members/teams to accomplish organizational goals.  Manages and resolves conflicts in a positive and constructive manner.	Communication & Morale	Sets an example of accessibility and transparency.     Fosters and reinforces a collaborative and engaged environment that inspires and encourages service, motivation, spirits pride and trust.	Manages an open, communicative environment that serves the agency's mission.		

N/R = Not Rated

# TAB 3 ATTACHMENT 1: FY2011 WORKSHEET Senior Executive Evaluation Guidance for Managerial Competency Elements

N/R	Evaluation Element	What This Includes	Exceed	Meet	NI	F
П	Result 6: Prevents staff from working unauthorized overtime hours by consistently applying Fair Labor Standards Act (FLSA) and DOL policy regarding overtime, maintaining an awareness of staff hours worked and organizational goals accomplished, and ensuring staff are knowledgeable of how FLSA designation impacts overtime eligibility and authorization.	Fair Labor Standards Act	in addition, develops and implements strategies that reliably document compliance with FLSA, supplemented by an awareness of staff hours worked to corroborate the effectiveness of these controls.	Makes the Fair Labor Standards Act (FLSA) and DOL policy available to employees and management.		
G	Result 7: Actively recruits to attract and select qualified applicants with the competencies needed by embracing the use of available hiring flexibilities, developing robust recruitment strategies, and maximizing the use of technology. Applies merit principles to develop, select, and manage a diverse workforce.	Hiring/Olversity	Manages this with an acute understanding of available hiring flexibilities and utilizes them in order to attract and select qualified applicants. Sets and meets hiring goals to maintain strength and reduce lapsed FTE.	Applies merit principles to develop, select, and manage a diverse workforce.		
	Score for Resource Managem	ent .	Exceed	Meet	NI	F
***************************************	Summary Score for Managerial Con	npetency		Mect	NI	F

## RATING JUSTIFICATION for Kevin G. Stricklin:

Kevin G. Stricklin's Exemplary Performance is in support of the Department of Labor's, MSHA's mission to prevent death and disease and injury from mining, as defined by the Agency's outcome goals and strategies, (Aligns with FY 2011 Operating Plan section entitled Outcome Goals: Strategic, Long-term, and Short-term, See pages 1-19).

Mr. Stricklin's 2011 Exemplary Performance Rating is based upon his significant contributions to the Mine Safety and Health Administration from October 1, 2010 – September 30, 2011 while serving as the Administrator, Coal Mine Safety and Health (Coal) Mine Safety and Health.

Through his exceptional leadership the efforts and achievements of Coal Mine Safety and Health speak for themselves. He not only met the goals of the 2011 Operating Plan by reaching 100% completion of mandated inspection and high hazard impoundments but he also met the goal set for impact and respirable coal dust inspections. He continued to keep a total of almost 1200 personnel focused on protecting miners' safety and health as well as continued to strive for improvements within his Program Area such as consistency in enforcement, the large backlog of contested cases, conducting Field Office Supervisor Training as a proactive response to UBB, operating within our budgets and hiring where needed.

Mr. Stricklin proved his exemplary performance by continuing to work across Program Areas in his efforts to improve his own. Through out the year he was in constant contact with A&M regarding hiring and budget management and on several occasions he met with the NCFLL. He and EPD have worked to ensure CMI entry-level classes could be scheduled to match the pace of hiring, that adequate retraining classes were being offered to ensure his journeymen enforcement personnel could be trained. ensured and that there was adequate space and time to conduct Field Office Supervisor training. He relied upon Technical Support on many occasions to collaboratively author many directives affecting the health and safety of the mining community, ensured that as the National Air and Dust lab moved from Coal to Technical Support that personnel and funding would be handed over as well to ensure the continued success of the lab and finally had to utmost confidence in the Mine Emergency Division to train our Mine Emergency Members. Mr. Stricklin worked with PEIR to ensure that funding was available to ensure a large, needed computer purchase would become reality for his field personnel. He continued to provide personnel to assist, guide, and advise PEIR on matters affecting the databases and systems that could affect his Program Area. He worked with the Assessments Office to ensure that PPOV mines were notified and monitored and that allegations of miners' rights infractions were investigated. He worked-collaboratively-with Metal Nonmetal to-ensure-that-where-enforcement issues... could be addressed consistently they were, he and the Administrator for MNM work closely to assist each other in times of need with the sole intention of the protection of the miner. Finally, on multiple occasions provided interviews, presentations, etc. to the

#### Kevin G. Stricklin Appraisal Period 10/01/2010 - 09/30/2011

## Managerial Competency Element 1: Leadership

Throughout this rating period, Mr. Stricklin's performance is in support of MSHA's FY 2011 Operating Plan Short-Term Outcome Goals for Health, Safety, and Worker Protection, specifically #2, To protect the safety and health of America's miners and mine communities. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).

Throughout this rating period, Mr. Stricklin has provided outstanding leadership and corporate direction to the nearly 1200 Coal Mine Safety and Health employees at the Headquarters in Arlington, Virginia and to the 12 Districts and 43 field offices across the entire United States. His exemplary leadership skills have inspired the cooperation and confidence of Coal Mine Safety and Health employees throughout the entire organization to produce optimal results and dedication to the mission. His efforts and leadership demonstrated his extensive awareness and understanding of the Department's mission and strategic vision.

- \* Result 1: Long and Short-term Strategic Planning. Mr. Stricklin employed innovative uses of Agency resources and technologies to meet performance indicators under its strategic plan by empowering each his HQ Divisions to continue to attack problems and/or negative trends; including areas such as Safety, Health, internal Administrative areas and taking the steps necessary to ensure that all workers were treated fairly however utilizing the necessary steps to ensure that our workforce was able to meet the physical requirements needed to perform enforcement activities. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).
- Result 2: Stresses Innovation, Creativity and Risk-Taking. Mr. Stricklin clearly demonstrated initiative and ability to explore and create alternative solutions to problems by encouraging and empowering but not micro-managing his Managers to be creative with their efforts to manage their programs, e.g. developing slogans for Winter Alert, stickers for the Coal Miners emphasizing various hazards, developing and disseminating safety and health flyers, etc...; giving numerous personnel opportunities to "act" or be temporarily promoted into positions outside their area as a result of a drain on resources; and supporting other program areas initiatives such as the completion of the transfer of the National Air and Dust lab functions from CMSH to Technical Support. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).
- Result 3: Represents the Department Internally and Externally. Mr. Stricklin served as an effective, reliable, and persuasive representative of the Agency and DOL by continuing to be the face and voice of MSHA and the DOL during the UBB investigation; representing MSHA in a multitude of Senate, House, and WV delegation briefings as well as congressional mine visits and representing MSHA at the 10-year anniversary of the Jim Walters accident. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).
- \* Result 4: Diverse Workforce. Mr. Stricklin practiced effective recruitment efforts to increase the pool of quality candidates as well as supported Coal's efforts in accommodating employees when it did not affect the mission. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-18 of the Plan).

- Result 5: Provide Better Service to Clients and Customers. Mr. Stricklin provided the highest quality service to Agency customers, stakeholders, and employees by continuing to meet with the families of the UBB victims to provide updates on the investigation and providing an accident investigation briefing to the general public and media; participating in a number of gatherings or speaking engagements including Coal inspector orientations and graduations, various Coal retraining classes; the governor of WV, and various coal companies; and dealing with internal issues. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pg. 13 of the Plan).
- Result 6: Accepts Mistakes as Development Process. Mr. Stricklin accepted a culture that
  encourages employees to take calculated risks to improve performance. Links to Operational Plan:
  Organizational Improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the
  Plan).
- Result 7: Integrity and Ethics. Mr. Stricklin demonstrated integrity and adheres to the highest ethical standards and by holding his employees to a high level of standards. Reacting quickly but fairly to remedy behavior and performance issues from his top managers to first level employees. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).

The manager & clede this competency.

Managerial Competency Element 2: Resource Management

Mr. Stricklin's throughout this rating period, in support of MSHA's FY 2011 Operating Plan Short-Term Outcome Goals for Health, Safety, and Worker Protection, specifically #2. To protect the safety and health of America's miners and mine communities. Links to Operational Plan: Organizational improvements support all seven strategies of the FY 2011 Operating Plan. (See pp. 4-16).

Mr. Stricklin has displayed an exceptional level of awareness and concern for agency expenditures and financial priorities. He consistently provided guidance and support to the districts and headquarters staff in effectively managing budgetary resources.

- Result 1: Financial Management. Mr. Stricklin managed a budget of approx 160 million whereby 76% is attributed to payroll, 17% to overhead, and 10% to recurring costs leaving CMSH about 0.6% to deal with unplanned purchases. CMSH ended the FY at about \$350k in the red which is exceptional considering the on-going UBB investigation; budget meetings were held between Mr. Stricklin's staff and MSHA's Budget Officer to ensure a transparent operation. Link to Operational Plan: Supports all aspects of MSHA's FY 2011 Operating Plan. Directly linked to the development and execution of FY 2011 Inputs (budgetary and human resources described in Section 4 of the Plan) and Outputs and Performance Accountability (Sections 3 and 5), See pp. 13-18 of the FY 2011 Plan.
- Result 2: Talent Management. Mr. Stricklin displayed the highest commitment to the identification and/or recruitment, development, promotion and retention of diverse and talented individuals to build leadership capacity throughout the agency by offering current employees the opportunity to act in vacant positions to promote talent and growth. Due to the UBB investigations and attrition at the end of the FY, CMSH had approximately 30 35 personnel detailed or temporarily promoted into different positions. In FY 11 CMSH conducted 12 testing sessions in 8 of the 12 districts; he ensured that a variety of enforcement retraining classes was made available and attended by personnel holding authorized representative (AR) cards; and provided training for the Coal Field Office Supervisors to specifically target their needs. Link to Operational Plan: and Outputs and Performance Accountability (Sections 3 and 5). See pp. 13-18 of the FY 2011 Flan.
- Result 3: Technology and Modernization. Mr. Stricklin identified and creatively utilized current and new technologies to maximize the agency's ability to achieve it priorities by participating in the Rules to Live By II training and continuing to develop in house solutions in order to better track data. Link to Operational Plan: New laptop and desktop computers for Coal field inspectors directly link to FY 2011 Operating Plan Strategy 1, "Increase Inspection and Enforcement Effectiveness." See pp. 5-7 of the Plan.
- Result 4: Leadership Support, Reward & Recognition. Teamwork, Individual Performance. Mr. Stricklin repeatedly demonstrated ability to link individuals with Departmental and Agency performance requirements by allowing districts to reward employees through performance and instant good job awards and recognizing personnel through the Secretary's Honor Award Program. Link to Operational Plan: Management improvements and improved communication support all seven strategies of the FT 2011 Operating Plan. See pp. 4-18.
- Result 5: Communication and Morale. Mr. Stricklin fostered and reinforced a collaborative and engaged environment that inspired and encouraged service, motivation, spirit, pride, and trust by practicing an open door policy and brainstorming sessions empowering employees to share ideas; developed a climate of motivation, participation and opportunities for employee initiative; immediately and effectively-investigated and-addressed-complaints-filed-whether-it-be-anonymous, mine operators to other employees through using internal personnel and/or internal departments to maintain integrity of investigation and to ensure fair and unbiased decisions; personally served as mediator on EEO complaints in an attempt to resolve issue before they proceeded to next step; routinely held conference calls with District personnel to encourage and promote their efforts in support of the Agency's mission and recognizing, reacting and implementing a remedy with respect to conduct or performance related

Organization Element Result #1: Reduce fatalities, injuries and illness in the nation's mines by increasing inspection and enforcement effectiveness. Links to Operational Plan: Organizational improvements support all three results of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).

Fatal Injury Incidence Rate: FY 2011 Target: .0404 All Injury Incidence Rate: FY 2011 Target: 3.28

FY 2011 Result:

.0113 through 3" atr

FY 2011 Result: 3.28 through 3" att

Overexposures to Noise:
FY 2011 Target: 2.99
FY 2011 Result: 2.72

Overexposures to Dust: FY 2011 Target: 6.32 FY 2011 Result: 5.76

- CMSH initiated and has continued to conduct "impact inspections". Coal selected mines that would
  represent potential explosion hazards. Through 11 months of the FY, CMSH conducted 129 impact
  inspections. In FY11, these inspections resulted in 2,082 citations, 176 Orders, 10 Safeguards with an
  average S&S rate of 46.42%;
- There were over 19,000 events opened and over 93,000 citations and orders issued.
- CMSH is on a record setting pace for lowest fatalities;
- Ensured maximum use of resources despite at one time over 40 details and temporary promotion angoing due to UBB and attrition;
- \* 3 entry level inspector training classes were started in FY11 and 4 classes graduated;
- 13 mines received notice of Potential Pattern of Violation (PPOV), 2 were placed back on a PPOV status after
  concluding their compliance levels fell to unacceptable levels, and 2 coal mining operations were placed on
  POV a first in the history of the Mine Act;
- For the first time, MSHA/CMSH filed with the US District Court a motion for preliminary injunction (section 108(s)(2)) of the Mine Act against Freedom Energy located in KY;
- Key Indicator reports were utilized as a management tool;
- · Achieved 100% completion of the mandatory safety and health inspections;
- The split of District 4 became a reality in May of 2011;
- Issued safety alerts, safety flyers, fatality alerts, and various materials to distribute to coal miners such as alerts regarding Communication and Tracking Distress Features and Storm Run Off and Mine Water Accumulations;
- Reviewed, along with his staff, all fatalities and draft enforcement actions which were contributory to fatal
  accidents:
- Continued using two teams of inspection personnel to conduct health inspections, respirable dust sampling
  and evaluation of dust controls. Mines were selected for inspections based on criteria such as:
  - 1) Difficulty complying with the applicable respirable dust standard.
  - 2) Low-weight Designated Occupation Samples (unreasonable concentration for occupation sampled).
  - 3) High quartz levels in respirable dust.
  - 4) Unreasonable/insufficient dust controls specified in the approved ventilation plan.
  - 5) Operator or MSFIA samples not collected during time when unit is producing normal amounts of material (unrepresentative samples of normal mining operations);
- Over the course of the FY, the dust teams inspected 16 mines in 4 districts, collected over 200 valid respirable
  dust samples. The dust teams issued a total of 173 citations of which 127 were related to health and 46 were
  related to safety; and
- During FY11 a higher percentage of inspections, 63% were full sampling inspections, compared to 45% (22 mines) of FY10 inspections.

The manager <u>& COLDS</u> this competency.

Organization Element Result #2: Reduce the fatalities and injuries in the Nation's Coal mines by increasing impection and enforcement effectiveness.

Mr. Stricklin's performance in this element directly supports MSHA's FY 2011 Operating Plan Short-Term Outcome Goals for Health, Safety, and Worker Protection. Links to Operational Plan: Organizational improvements support all three results of the FY 2011 Operating Plan. (See pp. 4-16 of the Plan).

- Coal Mine Safety and Health was the sole author or co-suthors on 22 new and 41 reissued Safety/Health
  Information Bulletins and Instruction Letters. Examples include Protecting Miners from Hazards Related to
  Rib Falls, Run-Through Check Curtains, Inspection of Post-Accident Communication and Electronic
  Tracking Systems, and Updated Procedures for Inspection of Seals;
- All Coal Authorized Representatives (AR's) completed the Rules To Live By II training course;
- Promoted and emphasized to the Districts that all AR's receive appropriate retraining to home their enforcement knowledge;
- Continued to promote consistency in enforcement measures through various means such as managers'
  meetings and conference calls, and a two-week training course for our Field Office Supervisors;
- Indications of lacking oversight were addressed at the highest levels of the District, to ensure that the District
  Manager was aware that ultimately he/she was responsible for the expectations he/she put on the district
  personnel;
- Ensured that poor performance, misconduct and errors are quickly dealt with, e.g. this FY there was over 30 actions taken against employees. These actions included actions such as termination to suspensions due to failure to following inspection procedures;
- In order to maximize the availability of enforcement personnel, efforts were made to properly address issues
  of temporary vs permanent medical inability to perform essential functions;
- Directly and through staff contributed to accident prevention and reduction strategies. Mr. Stricklin and staff
  traveled to districts, various meetings and conferences, inspector orientations and graduations as well as met
  with specific mine operators and associations to discuss key initiatives; and
- Indictor reports were reviewed, monitored and analyzed to track individual and district performance, the other
  national databases were regularly utilized (time utilization, IPAL uploads, timely citation terminations, etc.).

The manager & COAS this competency.

Organization Element Result #3. Maintain a safe and healthful environment by encouraging miner's voice in the workplace, protecting miners from discrimination and supporting open government.

Mr. Stricklin's performance in this element directly supports MSHA's FY 2011 Operating Plan Short-Term Outcome Goals for Health, Safety, and Worker Protection. Links to Operational Flan: Organizational improvements support all three results of the FY 2011 Operating Plan, (See pp. 13-16 of the Plan).

- Monitored inspection data and the level of consistency in inspections. Audits were conducted and discrepancies were corrected;
- Continued to monitor and track accountability reviews to ensure compliance with recommendations; and
- Ensured that enforcement personnel made mine visits to determine if the level of enforcement was effective and consistent with the conditions and practices in the mine.

#### CMSH had representatives on rule making committees:

- Proposed Rule on Proximity Detection Systems for Continuous Mining Machines in Underground Coal Mines:
- · Proposed Rule on Proximity Detection Systems for Underground Mines;
- Rock Dust;
- \* Respirable Silica;
- Examination of Work Areas in Underground Coal Mines for Violations of Mandatory Health or Safety Standards;
- Pattern of Violations; and
- . Lowering Miners' Exposure to Coal Mine Dust, Including Continuous Personal Dust Monitors.
- Resources were provided to ensure openness, transparency and disclosure when responding to all FOIA's;
- In FY11 CMSH, not including the carry over, received 1335 FOIAs, Completed 1360 FOIAs and ended the Year with 118 still pending at the end of the FY;
- Various materials were developed to educate and inform Miners of their Rights. Talking points were given to the inspectors;
- · Miners were given a Miners' rights Trifold Brochure, Pocket Card, and sticker,
- Miners were told of MSHA's website "A Guide to Miners' Rights and Responsibilities" as well as
  information available from the Mine Academy including A Guide to Miners' rights and Responsibilities —
  DVD; and
- Coal received approximately 1179 hazardous condition complaints during FY2011. A final decision had been
  reached for 1128 of those complaints, approximately 334 (30%) of which were positive findings.

The manager ELCOL this competency.



# Performance Management Plan for Executives

# ORIGINAL

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1. For each element, select the appropria ting. Element ratings: E	= Exceed; M = Meet; Need to	ı împro	ve; f	# F@	()		
Managerial Competency Elements E N N F	Organizational Performance Elem	ents		ement 88	Ratio	16 j	
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1. Please describe other significant accomplishments in the space below.

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#### Performance Standard for Meet

- Develops and maintains long and short-term strategic planning to facilitate the achievement of the Agency's mission, and improve performance consistent with key organizational policies and priorities and economic, political, and social frends effecting the organization
- Anticipates and meets the needs of clients/customers to provide better service. Sets standards for customers' needs and satisfaction, and meets them. Uses effective business practices including balanced measures that consider customer, stakeholder, and employee perspectives.
- Stresses innovation, creativity and risk-taking. Analyzes problems and develops alternative solutions, emphasizing new approaches. Takes calculated risks to move program forward.
- Displays an attitude that accepts mistakes as pert of the development process, as the organization works to achieve results that promote innovation, efficiency, and greater effectiveness
- Effectively represents the Department and the organization internally and externally. Actively engages the cooperation of internal and external stakeholders in working on common tasks or group projects; shares work and decision-making with others.
- . Demonstrates integrity and adheres to the highest ethical standards of public service.
- Promotes and maintains a diverse and inclusive workforce by actively recruiting and hiring from diverse applicant pools, bestering collaboration
  with individuals from diverse backgrounds, parapectives, and experiences; ensuring opportunities for growth exist equitably for all employees; and
  providing fair and equitable recognition of accomplishments for all employees.

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Page 2 of 7

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#### 2. Resource Management

#### Performance Standard for Meet

- Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to schieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities. Develops and implements strategies to reduce erroneous and tate payments, prevent Anti-deficiency Act violations, and ensure adequate management controls.
- Builds, trains, and manages workforce based on organizational goals, budget considerations, and staffing needs. Ensures continuing application of, and compliance with, applicable Equal Employment Opportunity (EEO) laws, regulations, and policies. Promptly addresses allegations of prohibited discrimination, harasament, and retailation; ensures EEO principles are adhered to throughout the organization.
- Understands the impact of technological developments on the organization. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.
- Links individual performance requirements to key organizational goals. Incorporates organizational performance results into decisions about individual performance ratings and recognition. Makes meaningful distinctions between levels of performance in ratings and recognizing and results approximate.
- Promotes en open, communicative environment that inspires and encourages service motivation, spirit, pride, and trust. Pscittates cooperation
  and motivates individual staff members/learns to accomplish organizational goals. Manages and resolves conflict in a positive and constructive
  manner.
- Prevents staff from working unauthorized overtime hours by consistently applying Fair Labor Standards Act (FLSA) and DOL policy regarding
  overtime, maintaining an awareness of staff hours worked and organizational goals accomplished, and ensuring staff are knowledgeable of how
  FLSA designation impacts overtime eligibility and authorization.
- Develops, implements, and maintains strategic and operational plans to facilitate the achievement of program responsibilities assigned under the American Recovery and Reinvestment Act (ARRA) provisions, consistent with the Secretary's enduring vision of Good Jobs for Everyone. Assures that silicoated ARRA funds are administered in accordance with the Department's "Operating Plan for Departmental Management Funds in the American Recovery and Reinvestment Act", and complies with Departmental requirements for accurate recording and reporting of ARRA-related activities and resource utilization.
- Actively recruits to attract and select qualified applicants with the competencies needed to successfully meet Departmental Fiscal Year 2010
  hiring goals by embracing the use of available hiring flexibilities, developing robust recruitment strategies, and maximizing the use of
  technology. Applies ment principles to develop, select, and manage a diverse workforce

Page 3 of 7

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Result #1	`Ų Exceed □ Meet □ Need to Improve □ Fa
	od Jobs for Everyone through Outcome Goal 2 – Securing safe and outcome Goal 10 – Voice
Reduce the mining fatality injury incidence performance goals and indicators.	e rate in the Nation's Coal mines in accordance with the
Reduce the ALL injury Incidence Rate in t and indicators.	he Nation's Coal mines in accordance with the performance goals
Condition Complaints are timely processed	rea to ensure that citations/orders are timely terminated, Hazard I, conferences and contested cases are handled appropriately, 105 gated and mine plan approvals are evaluated in a timely manner.
Performance Standard	
A 5% reduction in FY10 from the average	number of fatalities for FY2005 - FY2009.
degree to which the District is able to term abatement, Hazard Condition Complaints (	for timeliness of abatement. Performance will be measured by the inate citations within the period established by policy for are timely processed, conferences and contested cases are handled een timely investigated and mine plan approvals are evaluated in a by using a variety of reports.
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The incumbent demonstrates the use of the MSHA Key Indicators and other reports in the daily managerial decision-making process, demonstrates an understanding of the root causes for variances in monthly reporting, assigns responsibility for the variances, accounts for their occurrence and remedy where applicabe and shares best practices with relevant MSHA employees. The incumbent must ensure that the completion rate of all E01 inspections is 100%. Exception to this only may be granted if the incumbent can demonstrat supporting aberrations beyond the control of the incumbent's management ability that prevented 100% completion. The completion rate of all E01 inspections at 100% will be for all coal mines nationwide.
reports to direct resources to monitor and improve enforcement performance and quality. Incumbent monitors MSHA Coal Key Indicator and other reports for performance results outside the acceptable norms and averages for the Coal Districts' unique and distinct performance levels. Incumbent understands the effects of each District's geography and work load when determining acceptable average performance masclines.  Performance Standard  The incumbent demonstrates the use of the MSHA Key Indicators and other reports in the daily managerial lecision-making process, demonstrates an understanding of the root causes for variances in monthly eporting, assigns responsibility for the variances, accounts for their occurrence and remedy where applicabind shares best practices with relevant MSHA employees. The incumbent must ensure that the completion ate of all E01 inspections is 100%. Exception to this only may be granted if the incumbent can demonstrate apporting aberrations beyond the control of the incumbent's management ability that prevented 100% completion. The completion rate of all E01 inspections at 100% will be for all coal mines nationwide.
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decision-making process, demonstrates an understanding of the root causes for variances in monthly reporting, assigns responsibility for the variances, accounts for their occurrence and remedy where applicabe and shares best practices with relevant MSHA employees. The incumbent must ensure that the completion rate of all E01 inspections is 100%. Exception to this only may be granted if the incumbent can demonstrat supporting aberrations beyond the control of the incumbent's management ability that prevented 100% completion. The completion rate of all E01 inspections at 100% will be for all coal mines nationwide.
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	© Exceed " Meet □ Need to Improve □ Fe#  Good Jobs for Everyone through Ouome Goal 2 — Securing safe and  e, particularly in high-risk industries and Goal 10 - Voice in the
Decrease by 2% per year from the previous samples taken with results that are	ious year's actual performance or target, the percentage of dust and e above the allowable limits.
Performence Standard	
respirable coal mine dust and noise inst continuing non-compliance to determin coal mine dust-related inspections bases reviews of sampling data; initiate system	he most egregious and persistent violators; conduct special emphasis spections in FY 2010; continually review noise controls in situations of e if all feasible noise controls have been applied; revise and improve d on lessons learned in the "Dust Busters" effort; conduct quarterly matic reviews of the quality of dust controls in approved mine g the six-month review of the plans to foster continuous
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Page 6 of 7

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Result #4	Exceed	m Meet	☐ Need to Improve	☐ Fai
In support of the Secretary's Visic of Good Jobs for Everyone th	l <mark>qugh Ou</mark>	ime G	oal 2 - Securing	safe and
healthy workplaces, wages and overtime, particularly in high-risk	industries	and Goa	d 10 – Voice in t	he
Workplace:				

Use all available tools to reduce and/or eliminate the inconsistent enforcement of the Mine Act, MINER Act, and the deficiencies identified in accountability, district and PEER reviews.

Incumbent will monitor the Accountability reviews that have been conducted to ensure consistency in enforcing the law and review findings noted in such reviews and timely implement corrective actions.

Oversee the Agency's renewed commitment to Open Government primarily through the administration of Freedom of Information Act requirements.

Provide the necessary leadership and resources to demonstrate the Agency's commitment to miners' voice in the workplace.

Supports DOL's Continuity of Operations (COOP) activities.

#### Performance Standard

Required Mine visits are made; repeat audit findings are reduced or eliminated, personnel are trained as necessary, field activity and second level reviews are completed, deficiencies are timely addressed; there is consistency in citations/orders issued, Hazard Condition Complaints are processed following SOPs, conferences and contested cases are not modified or vacated at an unreasonable rate; 105(c) and 110 cases have been investigated in accordance with the handbook, policies and procedures and mine plan approvals are evaluated accurately and thoroughly.

Provides the necessary leadership and resources to ensure openness, transparency and timely disclosure when responding to all Freedom of Information Act requests.

Strategies and initiatives support the Agency's commitment in assuring that miners are free to exercise their legal right to identify hazardous conditions and request Agency inspections without discrimination by overseeing the programs designed to empower miners to request and receive appropriate Agency response and protection.

Provide liaison support to and coordination with the DOL for Continuity of Operations (COOP) activities, and provide executive leadership by assigning appropriate resources for COP implementation within the Agency.

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# Narrative Kevin G. Stricklin Appraisal Period 10/01/2009 – 09/30/2010 Rating of Record: <u>ほとの</u>なんとし

Managerial Competency Element 1: Leadership

Mr. Stricklin's performance in this element directly supports achievement of the Department of Labor's Strategic Goal 2 – Secure Safe and Healthy Workplaces – and Performance Goal – Reduce work-related fatalities, injuries and illnesses in mines.

Throughout this rating period, Mr. Stricklin has provided outstanding leadership and corporate direction to the Coal Mine Safety and Health program at the Headquarters in Arlington, Virginia and to the 11 Districts and 44 field offices across the entire United States. His exemplary leadership skills have inspired the cooperation and confidence of Coal Mine Safety and Health employees throughout the entire organization to produce optimal results and dedication to the mission. Mr. Stricklin virtually became the face and voice of MSHA as the nation and world watched the rescue/recover efforts in the aftermath of the Upper Big Branch Explosion. His efforts and leadership demonstrated his extensive awareness and understanding of the Department's mission and strategic vision. He actively worked to develop and/or implement forward-looking strategic plans that maximized the Agency's ability to achieve its objectives and to keep the nearly 1200 employees of Coal Mine Safety and Health focused on the fact that their efforts made a difference.

- Result 1: Long and Short-term Strategic Planning. Mr. Stricklin employs innovative uses of Agency resources and technologies to meet performance indicators under its strategic plan by:
  - Establishing performance goals that are challenging, consistent, attainable and in concert with the performance agreement items.
  - o Empowering each his HQ Divisions to continue to attack problems and/or negative trends, including areas such as Safety, Health, and internal Administrative areas.
  - Providing dedicated personnel to assist in the writing of the proposed rule on Lowering Miners' Exposure to Coal Mine Dust and the Use of the Continuous Personal Dust Monitor (CPDM).
  - Identifying over 70 mines nationwide to be the most egregious and persistent violators and performed impact inspections at these operations.
  - Conducting Special Emphasis blitzes and inspections that served a dual purpose of strong enforcement while efficiently using resources, i.e. inspections also contributed to the mandatory inspections.
  - o Continuing with efforts to split District 4 into two more manageable Districts.
- Result 2: Stresses Innovation, Creativity and Risk-Taking. Mr. Stricklin clearly demonstrated initiative and ability to explore and create alternative solutions to problems by:
  - o Encouraging and empowering but not micro-managing his HQ Division Chiefs and Field <u>District Managers to be creative with their efforts to manage their programs, e.g. developing</u> slogans for Winter Alert, stickers for the Coal Miners emphasizing various hazards, developing and disseminating safety and health flyers, etc...
  - o Giving numerous personnel opportunities to "act" or be temporarily promoted into positions outside their area as a result of a drain on resources due to the UBB investigations.
  - Submitting or supporting other program areas submission of various budget initiatives such as the eventual closing and then migration of District 1 into District 2, the development of a Mid West Mine Rescue facility, the transfer of the National Air and Dust lab functions from

Coal to Technical Support, and the efforts to restructure the Potential Pattern of Violation Process.

- Result 3: Represents the Department Internally and Externally. Mr. Stricklin served as an
  effective, reliable, and persuasive representative of the Agency and Department of Labor on
  virtually all matters internal and external to the agency by:
  - o Becoming the face and voice of MSHA and the Department of Labor during the rescue/recovery efforts during UBB.
  - Representing MSHA in a multitude of Senate, House, and WV delegation briefings on the status of the investigation.
  - o Briefing President Obama in the aftermath of the accident.
  - O Attending with the President, Vice President, Secretary of Labor, and MSHA's Assistant Secretary, the West Virginia Memorial Service for the Upper Big Branch miners.
- Result 4: Diverse Workforce. Mr. Stricklin practices effective recruitment efforts to increase the pool of quality candidates from underrepresented groups by:
  - Continuing to collaborate with A&M, ODEO, and OPEOS personnel to target specific geographic areas prior to scheduling job fairs.
  - O Dedicating staff to participate in career development events within the regions to expose students to possible careers and job opportunities with MSHA.
  - Holding all employees to a high standard of fair and equitable treatment, including hiring the best qualified.
  - o Supporting Coal's efforts in accommodating employees when it does not affect the mission.
  - Participating in diversity hiring efforts, such as the presentation to the Colorado School of Mines.
- Result 5: Provide Better Service to Clients and Customers. Mr. Stricklin provided the highest
  quality service to Agency customers, stakeholders, and employees by anticipating, addressing, and
  proactively managing current and future needs by:
  - o Meeting with the UBB families of the UBB victims in the aftermath of the accident.
  - Rotating personnel, this ensured that his districts had resources to meet the mandated inspections.
  - o After UBB he did all he could to ensure that the morale of his employees and the Agency suffered as little as possible. Counselors were made available and he personally made visits to speak to the employees of District 4.
  - o Providing the resources to serve on the committee to improve MSHA and Industry Mine Emergency Response Preparedness which had conducted interviews, collected objective and subjective data, analyzed data, prioritized gaps and recommended solutions to provide faster and more effective responses during mine emergencies.
  - Monitoring the timely investigation and resolution of hazardous conditions reported.
  - o Participating in a number of gatherings or speaking engagements, internal and external including Coal inspector orientations and girduations, the Wilberg and Scotia Mine Disaster anniversaries, accompanying Sect. Solis and various congressional members on mine visits, speaking with Coal Operators, Coal Associations, and the Interstate Mining Commission.
  - O Dealing with internal issues such as a pay/compensation issue that affected Mr. Frank Markosek, the former MSHA employee injured while attempting to rescue the trapped miners at Crandall Canyon.

- Result 6: Accepts Mistakes as Development Process. Mr. Stricklin accepts a culture that
  encourages employees to take calculated risks to improve performance by:
  - Fostering a climate providing motivation, participation and opportunities for employees to show initiative and take calculated risks.
  - Openly discussing and encouraging employees that in the face of a disaster and the resulting internal review and OIG audits, mistakes or inefficiencies will be found; however, he encouraged his employees to accept most of the criticisms as a means to become a stronger Agency.
- Result 7: Integrity and Ethics. Mr. Stricklin demonstrates integrity and adheres to the highest ethical standards by:
  - Consistently setting an example of integrity and high ethical standards for all he comes in contact with.
  - o Being recognized for his honesty and candor during UBB family and media briefings.
  - o Holding his employees to a high level of standards. Reacting quickly but fairly to remedy behavior and performance issues from his top managers to first level employees.

The manager <u>Ey (le. l.)</u> this competency.

## Managerial Competency Element 2: Resource Management

Mr. Stricklin's performance in this element directly supports achievement of the Department of Labor's Strategic Goal 2 – Secure Safe and Healthy Workplaces – and Performance Goal – Reduce work-related fatalities, injuries and illnesses in mines.

Mr. Stricklin has displayed an exceptional level of awareness and concern for agency expenditures and financial priorities. He consistently provides guidance and support to the districts and headquarters staff in effectively managing budgetary resources. This is displayed in the following accomplishments.

- Result 1: Financial Management. Mr. Stricklin displays an exceptional level of awareness and concern for agency expenditures and financial priorities by:
  - o Providing guidance and support to effectively achieve 100% completion.
  - O Up until the UBB Disaster, CMSH was on track over cut overtime costs more than in half.
  - Managing a budget of approx 158 million whereby 75% is attributed to payroll, 17% to overhead, 7% to recurring costs leaving CMSH about 1% to deal with unplanned purchases. Because of CMSH's efforts to ensure tight fiscal controls, the program area ended the FY at about \$250k in the red. It was determined that had UBB not occurred, CMSH would have ended the FY in the black.
  - o Having monthly budget meetings between Mr. Stricklin's staff and MSHA's Budget Officer. This ensured a transparent operation.
  - o His staff conducting quarterly conference calls with each of the 11 Coal Districts, to ensure from bottom up, Coal was managing the needs of the Districts while staying fiscally responsible.
- Result 2: Talent Management. Mr. Stricklin displays the highest commitment to the identification and/or recruitment, development, promotion and retention of diverse and talented individuals to build leadership capacity throughout the agency by:
  - o Offering current employees the opportunity to act in vacant positions to promote talent and growth. Due to the UBB investigations, at the end of the FY, CMSH had approximately 40 45 personnel detailed or temporarily promoted into different positions.
  - O Actively supporting efforts in the diverse hiring initiative, Federal Inspector Hiring program and the Career Intern Program. In FY 10 CMSH conducted 2 job fairs whereas for CY10 will have conducted job fairs in 5 of the 11 districts. An effort was made this CY to balance the number of job fairs needed to better assist the Human Resources Office will still meeting hiring needs.
- Result 3: Technology and Modernization. Mr. Stricklin identifies and creatively utilizes current
  and new technologies to maximize the agency's ability to achieve it priorities by:
  - Participating in the Rules to Live By training development and enhancement of the Inspector IPAL program to have message display during inspection that identifies most frequently cited standards.
  - continuing to develop in house solutions in order to better track data, examples include enhancements to our overtime database, creating a Rock Dust reporting tool, and developing shared sources of information in order for personnel to share data.
- Result 4: Leadership Support, Reward & Recognition, Teamwork, Individual Performance.
   Mr. Stricklin repeatedly demonstrates ability to link individuals with Departmental and Agency performance requirements by:

- o Linking all performance plans under his supervision to the Departmental goals. Allowing districts to reward employees through performance and instant good job awards.
- O Recognizing personnel through the Secretary's Honor Award Program.
- Result 5: Communication and Morale. Mr. Stricklin fosters and reinforces a collaborative and
  engaged environment that inspires and encourages service, motivation, spirit, pride, and trust by:
  - Practicing an open door policy and brainstorming sessions empowering employees to share ideas.
  - Developing a climate of providing motivation, participation and opportunities for employee initiative.
  - o Immediately and effectively investigating and addressing complaints filed whether it be anonymous, mine operators or other employees through using internal personnel and/or internal departments to maintain integrity of investigation and to ensure fair and unbiased decisions.
  - Personally serving as mediator on EEO complaints in an attempt to resolve issue before they
    proceeds to next step.
  - o Routinely holding conference calls with District personnel to encourage and promote their efforts in support of the Agency's mission.
  - o Keeping personnel informed of ongoing issues, visiting Districts and speaking to personnel to continue to encourage their hard work, to talk to employees, especially after a disaster, to ensure that our mission still lives and their contributions count. Mr. Stricklin, along with Secretary Main, held an all employee (MSHA HQ) meeting upon their return from UBB.
  - c Recognizing, reacting and implementing a remedy with respect to conduct or performance related issues. In FY10 CMSH issues over 20 types of actions from counselings, oral admonishments confirmed in writing, reprimands, suspensions to terminations. The array of positions from which these actions were taken included secretaries, inspectors, supervisors and managers. These actions crossed 9 of the 11 Districts.
- Result 6: FLSA Requirement. Mr. Stricklin consistently applies FLSA and DOL policy regarding overtime by:
  - Ensuring his management personnel was aware of FLSA and how it impacts overtime eligibility and authorization.
  - o Mr. Stricklin's staff developed a bullet sheet of definitions, rules, and tips re: FLSA and passed it on to the Coal Field managers.
- Result 7: Recovery Act. MSHA was not assigned program responsibilities or funds under the American Recovery and Reinvestment Act; therefore, has no input for this result.
- Result 8: Recruits Qualified Applicants. Mr. Stricklin manages with an acute understanding of available hiring flexibilities and utilizes them in order to attract and select qualified applicants by:
  - Actively supporting efforts in the diversity hiring initiative, Federal Inspector Hiring program and the Career Intern Program.
  - O Using hiring incentives in hard to fill areas, .e.g. relocation incentive in the Craig, CO area.

The manager EXCOLY this competency.

Organization Element Result #1: Reduce the mining Fatality injury incidence rate and the Allinjury incidence rate in the nation's mines.

Mr. Stricklin's performance in this element directly supports Outcome Goal 2 – Securing safe and health workplaces and Performance Goal – Reduce work-related fatalities, injuries and illnesses in mines.

Fatal Injury Incidence Rate:

All Injury Incidence Rate:

FY 2010 Target:

.0117

FY 2010 Target: 3.85

.0558 through 3rd atr FY 2010 Result:

FY 2010 Result:

3.65 through 3<sup>rd</sup> atr

- CMSH initiated and has continued to conduct "impact inspections". Directly following the UBB disaster, Coal selected mines that would represent potential explosion hazards. These inspections resulted in 2,071 citations, 187 Orders, 6 Safeguards with an average S&S rate of 45,77%. This program grew into a National program.
- Coal Mine Safety and Health were the sole authors or co-authors on 24 Safety/Health Information Bulletins and Instruction Letters. Examples include Crushing Hazard on Battery-Powered Scoops, Examination of Electrical Underground Coal Mine Equipment, and Inadequate Ventilation.
- There were over 2,600 Special Assessment Reviews conducted.
- There were over 18,000 events opened and over 96,000 citations and orders issued.
- Conducted a number of inspections "blitzes" or "saturation inspections" at egregious offending mines, e.g. Gilliam mine located in District 5 which resulted in 99 citations and orders with 45% being S&S and 2 safe guards.
- CMSH provided representative to serve on the committee for "Rules to Live By" which analyzed historical data to determine the thirteen (11) safety standards most frequently cited as causing or contributing to fatal mining accidents to determine the standards to be targeted. The Inspector IPAL program was enhanced to identify standards cited during an inspection.
- All Coal Authorized Representatives (AR's) completed the Rules To Live By training course.
- Monitoring inspection data and the level of consistency in inspections. Audits were conducted and discrepancies were corrected.
- Excluding the UBB Disaster, CMSH would once again would be on a record setting pace for lowest
- Ensured maximum use of resources despite over 40 details and temporary promotion ongoing due to UBB. Also, 3 entry level inspector training classes were started in FY10 and 7 classes graduated.
- Continued to promote consistency in enforcement measures through various means such as managers' meetings and conference calls, review of the inspector training, designating personnel to be a member of the curriculum review committee and training committee.

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Organization Element Result #2: Reduce the fatalities and injuries in the Nation's Coal mines by using the MSHA Key Indicators.

Mr. Stricklin's performance in this element directly supports Outcome Goal 2 – Securing safe and health workplaces and Performance Goal – Reduce work-related fatalities, injuries and illnesses in mines.

- Key Indicator reports were utilized as a management tool in the following:
  - o Achieving 100% completion of the mandatory safety and health inspections.
  - o Impact inspections and various blitzes or saturation inspections from teams of inspectors from other districts were used to monitor a district's enforcement.
  - The Key Indicator reports continued to indicate that District 4's enforcement activities and that the district is too large. Therefore the push for the split of District 4 continued through FY10.
  - c Issued safety alerts, safety flyers, fatality alerts, and various materials to distribute to coal miners such as alerts regarding electrical accidents, roof/rib accidents/fatalities, proximity warnings.
  - Indications of lacking oversight were addressed at the highest levels of the District, to ensure that the District Manager was aware that ultimately he/she was responsible for the expectations he/she put on the district personnel.
  - o Ensured that poor performance, misconduct and errors are quickly dealt with, e.g. this FY there was over 20 actions taken against employees. These actions included actions such as termination for pre-notification to suspensions due to failure to following inspection procedures.
  - In order to maximize the availability of enforcement personnel, efforts were made to properly address issues of temporary vs permanent medical inability to perform essential functions.
  - o Involved in ongoing safety and health issues and policies. Mr. Stricklin was engaged in the issuance of 24 Safety/Health Information bulletins and Instruction Letters.
  - Directly and through staff contributed to accident prevention and reduction strategies. Mr. Stricklin and staff traveled to districts, various meetings and conferences, Inspector orientations and graduations as well as met with specific mine operators and associations to discuss key initiatives.
  - Reviewed, along with his staff, all fatalities and draft enforcement actions which were contributory to fatal accidents.
  - Indictor reports were reviewed, monitored and analyzed to track individual and district performance, the other natl databases were regularly utilized (time utilization, IPAL uploads, timely citation terminations, etc.).
  - o To achieve 100% completion, redistribution of personnel primarily to District 8 and 9 were necessary.

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Organization Element Result #3. Decrease by 2% per year from the pervious year's actual performance or target, the percentage of dust and noise samples taken with results that are above the allowable limits.

Mr. Stricklin's performance in this element directly supports Outcome Goal 2 - Securing safe and health workplaces and Performance Goal - Reduce work-related fatalities, injuries and illuesses in mines.

Overexposures to Noise:

Overexposures to Dust:

FY 2010 Tarret: 3.94 FY 2010 Target:

FV 2010 Result:

2.94 through 3rd atr FY 2010 Result: 7.26 through 3rd atr

7.63

Mr. Stricklin's efforts for achieving this element were:

- · Implemented a comprehensive strategy that included rulemaking, enforcement, outreach and education and training through the End Black Lung ACT NOW program which launched in December, 2009, including 4 rollout meetings in WV, PA, VA, and KY.
- Participated in 4 joint NIOSH/MSHA Dust Control Workshops held in WV, AL, IN, and CO.
- CMSH had representatives on the committee that wrote a proposed rule geared to lowering miners' exposure to respirable coal dust. The proposed rule combines prior regulatory actions addressing lowering coal mine dust exposure, single sample, plan verification and the use of continuous personal dust monitors.
- Established two teams of inspection personnel to conduct health inspections, respirable dust sampling and evaluation of dust controls. Mines were selected for inspections based on criteria such as:
  - 1) Difficulty complying with the applicable respirable dust standard.
  - 2) Low-weight Designated Occupation Samples (unreasonable concentration for occupation sampled).
  - 3) High quartz levels in respirable dust.
  - 4) Unreasonable/insufficient dust controls specified in the approved ventilation plan.
  - 5) Operator or MSHA samples not collected during time when unit is producing normal amounts of material (unrepresentative samples of normal mining operations).
- Over the course of the FY, the dust teams inspected 47 mines, collected over 689 valid respirable dust samples and issued 343 citations (199 health, 144 safety).
- Purchased an additional 6 Continuous Personal Dust Monitors. These units provide a real-time display of the respirable dust concentration and are used by Coal field personnel to gain experience in the use of this new technology to evaluate dust exposures and to determine the effectiveness of dust control measures being used by mine operators.

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Organization Element Result #4: 1. Use all available tools to reduce and/or eliminate inconsistent; 2. Monitor the Accountability reviews; 3. Open Government; 4. Miners' Voice in the Workplace 5. (COOP) activities; and 6. Regulatory Agenda

#### Result 1: Inconsistent enforcement.

- CMS&H attained its goal of completing 100% of the mandatory safety and health inspections for FY2010. This is the third year in which CMS&H has reached this accomplishment.
- Continued to monitor inspection data and the level of consistency in inspections. Audits were conducted and discrepancies were corrected.
- Ensured that conferences and contested cases are conducted in accordance with MSHA handbook, policy and procedures.

#### Result 2: Monitor Accountability

- Continued to monitor and track accountability reviews to ensure compliance with recommendations.
- Ensured that enforcement personnel make mine visits to determine if the level of enforcement was effective and consistent with the conditions and practices in the mine.
- Monitored 105 (c) and 100 cases to ensure they have been timely and thoroughly investigated.

#### Result 3: Open Government

- Resources were provided to ensure openness, transparency and timely disclosure when responding to all FOIA's
- · Although inundated with FOIAs after UBB, was able to complete 37 requests.

#### Result 4: Voice in the Workplace

- Assisted with the development of MSHA Miners' Rights handbook. Information was provided online for miners to be able to recognize hazards and through a toll free telephone number for miners to notify MSHA of hazardous conditions and for miners to remain anonymous, to avoid discriminatory actions by mine operator. Miners' Rights has been added to the training curriculum for Journeyman Training.
- Issued through a memo to all District Menagers requirements and the importance of the role played by miners' representatives during inspections and investigations.
- Investigated approximately 1208 hazardous condition complaints. Of those complaints with a final determination, 404 of 1183 (34%) resulted in a determination of positive findings.

## Result 5: COOP Activities

· Provided support to COOP activities in coordination with DOL.

### Result 6: Regulations

- Provided resources to participate and provide expertise on agency regulatory committees for the Dust Rule
- Had an active role in the April, 2010, the final rule for 30 CFR Parts 18, 74, and 75 Coal Mine Dust Sampling Devices; High-Voltage Continuous Mining Machine Standard for Underground Coal Mines.
- Had an active role in the September, 2010, publishing of the Emergency Temporary Standard for Maintenance of Incombustible Content of Rock Dust in Underground Coal

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